

PHA Plans

5 Year Plan for Fiscal Years 2000 - 2004
Annual Plan for Fiscal Year 2001

**NOTE: THIS PHA PLANS TEMPLATE (HUD 50075) IS TO BE COMPLETED IN
ACCORDANCE WITH INSTRUCTIONS LOCATED IN APPLICABLE PIH NOTICES**

PHA Plan Agency Identification

PHA Name: Housing Authority of the County of Santa Clara

PHA Number: CA059

PHA Fiscal Year Beginning: 7/1/2001

Public Access to Information

Information regarding any activities outlined in this plan can be obtained by contacting: (select all that apply)

- ☒ Main administrative office of the PHA
- ☐ PHA development management offices
- ☐ PHA local offices

Display Locations For PHA Plans and Supporting Documents

The PHA Plans (including attachments) are available for public inspection at: (select all that apply)

- ☒ Main administrative office of the PHA
- ☐ PHA development management offices
- ☐ PHA local offices
- ☐ Main administrative office of the local government
- ☐ Main administrative office of the County government
- ☐ Main administrative office of the State government
- ☐ Public library
- ☐ PHA website
- ☒ Other (list below)
 1. Cypress Gardens, 3555 Judro Way, San Jose, CA 95117
 2. Lenzen Gardens, 893 Lenzen Avenue, San Jose, CA 95126
 3. Sunset Gardens, 7750 Wren Avenue, Gilroy, CA 95020
 4. Rincon Gardens, 400 West Rincon Avenue, San Jose, CA 95008

PHA Plan Supporting Documents are available for inspection at: (select all that apply)

- ☒ Main business office of the PHA
- ☐ PHA development management offices
- ☐ Other (list below)

5-YEAR PLAN
PHA FISCAL YEARS 2000 - 2004
[24 CFR Part 903.5]

A. Mission

State the PHA's mission for serving the needs of low-income, very low income, and extremely low-income families in the PHA's jurisdiction. (select one of the choices below)

- ☐ The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.
- ☒ The PHA's mission is: (state mission here)

The MISSION of the Housing Authority of the County of Santa Clara is to provide as much "decent, safe and sanitary" housing as possible for the low-income families, residents with disabilities, and seniors of the Santa Clara Valley.

Our philosophy, goals and professional commitment are dedicated toward fulfilling this mission.

B. Goals

The goals and objectives listed below are derived from HUD's strategic Goals and Objectives and those emphasized in recent legislation. PHAs may select any of these goals and objectives as their own, or identify other goals and/or objectives. Whether selecting the HUD-suggested objectives or their own, **PHAS ARE STRONGLY ENCOURAGED TO IDENTIFY QUANTIFIABLE MEASURES OF SUCCESS IN REACHING THEIR OBJECTIVES OVER THE COURSE OF THE 5 YEARS.** (Quantifiable measures would include targets such as: numbers of families served or PHAS scores achieved.) PHAs should identify these measures in the spaces to the right of or below the stated objectives.

HUD Strategic Goal: Increase the availability of decent, safe, and affordable housing.

- ☒ PHA Goal: Expand the supply of assisted housing
Objectives:
- ☒ Apply for additional rental vouchers: **Successfully compete for the maximum amount of allocations through all Notice of Funding Availability.**
- ☒ Reduce public housing vacancies: **Currently 1% vacancy level**
- ☒ Leverage private or other public funds to create additional housing opportunities:
- ☒ Acquire or build units or developments: **At least 3 significant projects each year**
- ☐ Other (list below)

- **Increase the agency-owned housing stock over the next five years by 1000-1500 units.**
- **House 20% of the families on the waiting list within 5 years.**



PHA Goal: Improve the quality of assisted housing

Objectives:

- ☒ Improve public housing management: (PHAS score) **Will improve score when score is received**
- ☒ Improve voucher management: (SEMAP score) **Maintain MTCS High Score, complete 100% annual inspections and recertifications on time**
- ☒ Increase customer satisfaction: **Establish Customer Support Team in the Housing Programs Department.**
- ☐ Concentrate on efforts to improve specific management functions: (list; e.g., public housing finance; voucher unit inspections)
- ☒ Renovate or modernize public housing units: **See 5 Year Action Plan for Capital Fund**
- ☐ Demolish or dispose of obsolete public housing:
- ☐ Provide replacement public housing:
- ☐ Provide replacement vouchers:
- ☒ Other:
 - **Maintain 3 months of operating expenses in cash reserves;**
 - **Establish a revenue-generating, in-house training and development entity;**
 - **Identify appropriate administrative facility expansion plan for staff and clients;**
 - **Attract and maintain a large pool of highly qualified, diverse staff;**
 - **Prepare for the impact of potential leadership changes;**
 - **Establish Customer Support Center in Housing Programs Department.**



PHA Goal: Increase assisted housing choices

Objectives:

- ☒ Provide voucher mobility counseling: **Provide owner outreach workshops and continue to present information at briefings**
- ☒ Conduct outreach efforts to potential voucher landlords
- ☒ Increase voucher payment standards
- ☒ Implement voucher homeownership program: **Only when final rule is implemented**
- ☒ Implement public housing or other homeownership programs: **Below Market Rate Purchase Program**
- ☒ Implement public housing site-based waiting lists:
- ☐ Convert public housing to vouchers:
- ☐ Other: (list below)
 - **Complete 3 significant projects each year**

- **Form an Owner Advisory Group**

HUD Strategic Goal: Improve community quality of life and economic vitality

- ☒ PHA Goal: Provide an improved living environment
- Objectives:
- ☐ Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:
 - ☐ Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:
 - ☐ Implement public housing security improvements:
 - ☐ Designate developments or buildings for particular resident groups (elderly, persons with disabilities)
 - ☒ Other: (list below)
 - **Participate in Work Force Investment activities as a mandatory partner**
 - **Increase income levels for 30% of clients**
 - **Utilize voucher program for homeownership**

HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals

- ☒ PHA Goal: Promote self-sufficiency and asset development of assisted households
- Objectives:
- ☒ Increase the number and percentage of employed persons in assisted families: **Refer 100% of unemployed TANF to Calworks and WIA**
 - ☒ Provide or attract supportive services to improve assistance recipients' employability: **Serve as a mandated partner for Workforce Investment Act, co-partner with Calworks for WTW Clients**
 - ☒ Provide or attract supportive services to increase independence for the elderly or families with disabilities.
 - ☒ Other: (list below)
 - **Support the Family Self-Sufficiency Program**
 - **Expand the number of people assisted by the scholarship fund by 100%**
 - **Establish a scholarship endowment fund of \$1 million.**

HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans

- ☒ PHA Goal: Ensure equal opportunity and affirmatively further fair housing
- Objectives:
- ☒ Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and

disability: **See Chapter 4, Section F of Public Housing Admissions and Continued Occupancy Plan; See Chapter 1, Section G of the Section 8 Administrative Plan and Chapter 3 of the Property Management Policies and Procedures Manual.**

- ☒ Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability: **See Chapter 4, Section F of Public Housing Admissions and Continued Occupancy Plan; See Chapter 1, Section G of the Section 8 Administrative Plan and Chapter 3 of the Property Management Policies and Procedures Manual**
- ☒ Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required: **See Chapter 4, Section F of Public Housing Admissions and Continued Occupancy Plan; See Chapter 1, Section G of the Section 8 Administrative Plan and Chapter 3 of the Property Management Policies and Procedures Manual**
- ☐ Other: (list below)

Other PHA Goals and Objectives: (list below)

Annual PHA Plan
PHA Fiscal Year 2001
[24 CFR Part 903.7]

i. Annual Plan Type:

Select which type of Annual Plan the PHA will submit.

☒ **Standard Plan**

Streamlined Plan:

- ☐ **High Performing PHA**
- ☐ **Small Agency (<250 Public Housing Units)**
- ☐ **Administering Section 8 Only**

☐ **Troubled Agency Plan**

ii. Executive Summary of the Annual PHA Plan

[24 CFR Part 903.7 9 (r)]

The Housing Authority of the County of Santa Clara's Executive Summary is provided as Attachment A.

iii. Annual Plan Table of Contents

[24 CFR Part 903.7 9 (r)]

Annual Plan and Five Year Plan

ATTACHMENTS

- A. Housing Authority of the County of Santa Clara Executive Summary
- B. Organizational Charts
- C. Resolution No. 01-10 PHA Certification of Compliance with the PHA Plans and Related Regulations Board Resolution to Accompany the PHA Plan
- D. State/Local Government Certification of Consistency with the Consolidated Plan
- E. List of Consolidated Plans for the Jurisdictions of the Housing Authority of the County of Santa Clara
- F. Fiscal Year Ending 6/30/2001 Operating Budget for the Housing Authority of the County of Santa Clara
- G. Table of Contents for Public Housing Admissions and Continued Occupancy Plan
- H. Table of Contents for the Section 8 Administrative Plan
- I. Table of Contents for the Property Management Policies and Procedures Manual
- J. The HUD-Approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the 2001 Grant Year
- K. 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program
- L. Housing Authority of the County of Santa Clara Single Audit Year Ended June 30, 2000
- M.
 - 1. Procurement Policy for Equipment, Materials and Supplies,
 - 2. Procurement Policy for Professional Services
 - 3. Disposition Policy
 - 4. Protests and Appeals Policy

5. Investment Policy and Guidelines
- N. Housing Needs of Families in the Housing Authority's Jurisdictions
- O. Programs Administered at the Housing Authority of the County of Santa Clara
- P. Resident Advisory Board Meetings and Public Comments
- Q. Admissions Policy for Deconcentration
- R. Description of Implementation of Community Service Requirements
- S. Resident Membership of Governing Board

Required Attachments:

- ☒ Admissions Policy for Deconcentration
- ☒ FY 2001 Capital Fund Program Annual Statement
- ☐ Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

Optional Attachments:

- ☒ PHA Management Organizational Chart
- ☒ FY 2001 Capital Fund Program 5 Year Action Plan
- ☐ Public Housing Drug Elimination Program (PHDEP) Plan: N/A
- ☒ Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)
- ☒ Other (List below, providing each attachment name)
- Property Management Policies and Procedures Manual**

Supporting Documents Available for Review

Indicate which documents are available for public review by placing a mark in the "Applicable & On Display" column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	5 Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI) and any additional backup data to support statement of housing needs in the jurisdiction)	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
X	Public Housing Admissions and (Continued) Occupancy	Annual Plan: Eligibility,

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the methodology for setting public housing flat rents <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
N/A	Schedule of flat rents offered at each public housing development <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
X	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
X	Public housing grievance procedures <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
X	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
N/A	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
X	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
N/A	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
N/A	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
N/A	Approved or submitted applications for designation of public	Annual Plan: Designation of

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	housing (Designated Housing Plans)	Public Housing
N/A	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
N/A	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
N/A	Policies governing any Section 8 Homeownership program <input type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
X	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
X	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
N/A	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
SEE TABLE OF CONTENTS	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

1. Statement of Housing Needs

[24 CFR Part 903.7 9 (a)]

Housing needs will be addressed through attrition, application for new funding and building new affordable housing sites.

The Section 8 program has approximately 600 turnovers per year. Public Housing has approximately 57 turnovers per year.

Over the past 10 years the Housing Authority of the County of Santa Clara has developed over 2,200 units of affordable housing. Also the purchase and rehabilitation of available buildings that are suitable for low income tenants is a goal. Additionally, the Housing Authority of the County of Santa will make every effort to preserve existing affordable housing through purchase or partnerships with non-profits.

A. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the "Overall" Needs

column, provide the estimated number of renter families that have housing needs. For the remaining characteristics, rate the impact of that factor on the housing needs for each family type, from 1 to 5, with 1 being “no impact” and 5 being “severe impact.” Use N/A to indicate that no information is available upon which the PHA can make this assessment.

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford- ability	Supply	Quality	Access- ibility	Size	Loca- tion
Income <= 30% of AMI	63,195	5	5	4	3	4	4
Income >30% but <=50% of AMI	25,648	5	5	4	3	4	4
Income >50% but <80% of AMI	17,455	5	5	4	3	4	4
Elderly	11,091	5	5	4	4	2	4
Families with Disabilities	N/A	N/A	N/A	N/A	N/A	N/A	N/A
White	34,746	5	5	4	3	3	4
Hispanic	21,081	5	5	4	3	4	4
Black	4,670	5	5	4	3	3	4
Other	11,747	5	5	4	3	3	4

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- ☒ Consolidated Plan of the Jurisdiction/s
Indicate year: 2000 - 2005
- ☒ U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset
- ☐ American Housing Survey data
Indicate year:
- ☐ Other housing market study
Indicate year:
- ☐ Other sources: (list and indicate year of information)

B. Housing Needs of Families on the Public Housing and Section 8 Tenant- Based Assistance Waiting Lists

State the housing needs of the families on the PHA’s waiting list/s. **Complete one table for each type of PHA-wide waiting list administered by the PHA.** PHAs may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

Housing Needs of Families on the Waiting List

Housing Needs of Families on the Waiting List

Waiting list type: (select one)

- ☒ Section 8 tenant-based assistance
☐ Public Housing
☐ Combined Section 8 and Public Housing
☐ Public Housing Site-Based or sub-jurisdictional waiting list (optional)

If used, identify which development/subjurisdiction:

	# of families	% of total families	Annual Turnover
Waiting list total	24,666		
Extremely low income <=30% AMI	19,366	78.40	
Very low income (>30% but <=50% AMI)	5,281	21.41	
Low income (>50% but <80% AMI)	49	.19	
Families with children	13,689	55.49	
Elderly families	3,534	14.32	
Families with Disabilities	3,427	13.89	
Race - White	12,450	50.47	
Race - Black	3,734	15.14	
Race - American Indian	775	3.14	
Race - Asian	7,707	31.25	
Ethnicity - Hispanic	8,926	36.19	
Ethnicity - Non-Hispanic	15,740	63.81	
Characteristics by Bedroom Size (Public Housing Only)			
1BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			

Housing Needs of Families on the Waiting List

Is the waiting list closed (select one)? ☐ No ☒ Yes

If yes:

How long has it been closed (# of months)? 12 months

Does the PHA expect to reopen the list in the PHA Plan year? ☒ No ☐ Yes

Does the PHA permit specific categories of families onto the waiting list, even if generally closed? ☒ No ☐ Yes

Waiting list type: (select one)

☐

Section 8 tenant-based assistance

☒

Public Housing

☐

Combined Section 8 and Public Housing

☐

Public Housing Site-Based or sub-jurisdictional waiting list (optional)

If used, identify which development/subjurisdiction:

	# of families	% of total families	Annual Turnover
Waiting list total	6,926		
Extremely low income <=30% AMI	5,000		
Very low income (>30% but <=50% AMI)	1,800		
Low income (>50% but <80% AMI)	0		
Families with children	4,438		
Elderly families	2,362		
Families with Disabilities	1,782		
Hispanic	1,763		
White	2,141		
Asian	2,121		
Black	775		
Characteristics by Bedroom Size (Public Housing Only)			
1 BR	2,108		
2 BR	2,380		
3 BR	2,312		
4 BR	N/A		
5 BR	N/A		
5+ BR	N/A		

Housing Needs of Families on the Waiting List

Is the waiting list closed (select one)? ☐ No ☒ Yes

If yes:

How long has it been closed (# of months)? **36 MONTHS**

Does the PHA expect to reopen the list in the PHA Plan year? ☒ No ☐ Yes

Does the PHA permit specific categories of families onto the waiting list, even if generally closed? ☒ No ☐ Yes

C. Strategy for Addressing Needs

The Section 8 and Public Housing Programs are 100% leased. As vacancies occur, names will be taken from the wait list by date and time. Additionally, the Section 8 Housing Programs Department leased vouchers to over 1,066 families from the waiting list who met the criteria for the Welfare to Work targeted vouchers.

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

Strategy 1. Maximize the number of affordable units available to the PHA within its current resources by:

Select all that apply

- ☒ Employ effective maintenance and management policies to minimize the number of public housing units off-line
- ☒ Reduce turnover time for vacated public housing units
- ☒ Reduce time to renovate public housing units
- ☐ Seek replacement of public housing units lost to the inventory through mixed finance development
- ☐ Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources
- ☒ Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- ☐ Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- ☒ Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- ☐ Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program
- ☐ Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- ☐ Other (list below)

Strategy 2: Increase the number of affordable housing units by:

Select all that apply

- ☐ Apply for additional section 8 units should they become available

- ☒ Leverage affordable housing resources in the community through the creation of mixed - finance housing
- ☒ Pursue housing resources other than public housing or Section 8 tenant-based assistance.
- ☐ Other: (list below)

Need: Specific Family Types: Families at or below 30% of median

Strategy 1: Target available assistance to families at or below 30 % of AMI

Select all that apply

- ☒ Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing
- ☒ Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance
- ☐ Employ admissions preferences aimed at families with economic hardships
- ☐ Adopt rent policies to support and encourage work
- ☐ Other: (list below)

Need: Specific Family Types: Families at or below 50% of median

Strategy 1: Target available assistance to families at or below 50% of AMI

Select all that apply

- ☐ Employ admissions preferences aimed at families who are working
- ☒ Adopt rent policies to support and encourage work
- ☐ Other: (list below)

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

Select all that apply

- ☐ Seek designation of public housing for the elderly
- ☒ Apply for special-purpose vouchers targeted to the elderly, should they become available
- ☐ Other: (list below)

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

Select all that apply

- ☐ Seek designation of public housing for families with disabilities
- ☒ Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- ☒ Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- ☒ Affirmatively market to local non-profit agencies that assist families with disabilities
- ☐ Other: (list below)

Need: Specific Family Types: Races or ethnicities with disproportionate housing needs

Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:

Select if applicable

- ☒ Affirmatively market to races/ethnicities shown to have disproportionate housing needs
☐ Other: (list below)

Strategy 2: Conduct activities to affirmatively further fair housing

Select all that apply

- ☒ Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units
☒ Market the section 8 program to owners outside of areas of poverty /minority concentrations
☐ Other: (list below)

Other Housing Needs & Strategies: (list needs and strategies below)

(2) Reasons for Selecting Strategies

Of the factors listed below, select all that influenced the PHA's selection of the strategies it will pursue:

- ☒ Funding constraints
☐ Staffing constraints
☒ Limited availability of sites for assisted housing
☐ Extent to which particular housing needs are met by other organizations in the community
☒ Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
☒ Influence of the housing market on PHA programs
☐ Community priorities regarding housing assistance
☐ Results of consultation with local or state government
☒ Results of consultation with residents and the Resident Advisory Board
☒ Results of consultation with advocacy groups
☐ Other: (list below)

2. Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

<p>Financial Resources: Planned Sources and Uses</p>

Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2001 grants)		
a) Public Housing Operating Fund	699,701	
b) Public Housing Capital Fund	1,083,303	
c) HOPE VI Revitalization	N/A	
d) HOPE VI Demolition	N/A	
e) Annual Contributions for Section 8 Tenant-Based Assistance	90,323,252	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	N/A	
g) Resident Opportunity and Self-Sufficiency Grants	N/A	
h) Community Development Block Grant	N/A	
i) HOME	N/A	
Other Federal Grants (list below)		
Welfare to Work Grant (Section 8)		Included in 1.e) above
2. Prior Year Federal Grants (unobligated funds only) (list below)		
2000 Comp Grant Program	1,086,236	Public Housing program operations
3. Public Housing Dwelling Rental Income	1,556,074	Public Housing program operations
4. Other income (list below)		
Washer/Dryer Revenue	19,492	Public Housing program operations
4. Non-federal sources (list below)		
Public Housing Investment Income	31,595	Public Housing program operations
Sec. 8 Admin Fee Investment Income	30,680	Section 8 program operations
Total resources	94,830,333	We specifically reserve the right to change this financial resources statement based on later, better information.

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.7 9 (c)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete subcomponent 3A.

(1) Eligibility

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)

- ☐ When families are within a certain number of being offered a unit: (state number)
- ☒ When families are within a certain time of being offered a unit: **30 days**
- ☐ Other: (describe)

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

- ☒ Criminal or Drug-related activity
- ☒ Rental history
- ☒ Housekeeping
- ☒ Other (describe) **Screen public records for criminal activity**

c. ☐ Yes ☒ No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

d. ☐ Yes ☒ No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

e. ☐ Yes ☒ No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

(2)Waiting List Organization

a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

- ☐ Community-wide list
- ☐ Sub-jurisdictional lists
- ☒ Site-based waiting lists
- ☐ Other (describe)

b. Where may interested persons apply for admission to public housing?

- ☐ PHA main administrative office
- ☐ PHA development site management office
- ☒ Other (list below)

The list is currently closed. When the list reopens the Housing Authority will advertise through public notice in the newspapers, minority publications, local agencies and media entities. When the waiting list is open, any family asking to be placed on the waiting list for Public Housing rental assistance will be given the opportunity to complete an interest list form. When the interest list form is submitted to the Housing Authority it establishes the family's date and time of application for placement order on the waiting list.

c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection **(3) Assignment**

1. How many site-based waiting lists will the PHA operate in the coming year? 10

2. ☒ Yes ☐ No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?
If yes, how many lists? 10

3. ☒ Yes ☐ No: May families be on more than one list simultaneously
If yes, how many lists? There are six complexes for families. Families may sign up for all six.

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- ☒ PHA main administrative office
- ☒ All PHA development management offices
- ☒ Management offices at developments with site-based waiting lists
- ☒ At the development to which they would like to apply
- ☐ Other (list below)

(3) Assignment

a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)

- ☐ One
- ☐ Two
- ☒ Three or More

b. ☒ Yes ☐ No: Is this policy consistent across all waiting list types?

c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

(4) Admissions Preferences

a. Income targeting:

☒ Yes ☐ No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?

b. Transfer policies:

In what circumstances will transfers take precedence over new admissions? (list below)

- ☒ Emergencies
- ☒ Overhoused
- ☒ Underhoused
- ☒ Medical justification

- ☒ Administrative reasons determined by the PHA (e.g., to permit modernization work)
- ☐ Resident choice: (state circumstances below)
- ☐ Other: (list below)

c. Preferences

1. ☐ Yes ☒ No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If “no” is selected, skip to subsection **(5) Occupancy**)
2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

- ☐ Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- ☐ Victims of domestic violence
- ☐ Substandard housing
- ☐ Homelessness
- ☐ High rent burden (rent is > 50 percent of income)

Other preferences: (select below)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans’ families
- ☐ Residents who live and/or work in the jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

1 Date and Time

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans' families
- ☐ Residents who live and/or work in the jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☐ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☐ Victims of reprisals or hate crimes
- ☐ Other preference(s) (list below)

4. Relationship of preferences to income targeting requirements:

- ☐ The PHA applies preferences within income tiers
- ☐ Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Occupancy

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

- ☒ The PHA-resident lease
- ☒ The PHA's Admissions and (Continued) Occupancy policy
- ☐ PHA briefing seminars or written materials
- ☐ Other source (list)

b. How often must residents notify the PHA of changes in family composition? (select all that apply)

- ☒ At an annual reexamination and lease renewal
- ☒ Any time family composition changes
- ☐ At family request for revision
- ☐ Other (list)

(6) Deconcentration and Income Mixing

a. ☒ Yes ☐ No: Does the PHA have any general occupancy (family) public housing developments covered by the deconcentration rule? If no, this section is complete. If yes, continue to the next question.

b. ☐ Yes ☒ No: Do any of these covered developments have average incomes above or below 85% to 115% of the average incomes of all such developments? If no, this section is complete.

If yes, list these developments as follows:

Deconcentration Policy for Covered Developments			
Development Name:	Number of Units	Explanation (if any) [see step 4 at §903.2(c)(1)(iv)]	Deconcentration policy (if no explanation) [see step 5 at §903.2(c)(1)(v)]

B. Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B.

Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).

(1) Eligibility

a. What is the extent of screening conducted by the PHA? (select all that apply)

- ☒ Criminal or drug-related activity only to the extent required by law or regulation
- ☐ Criminal and drug-related activity, more extensively than required by law or regulation
- ☐ More general screening than criminal and drug-related activity (list factors below)
- ☐ Other (list below)

b. ☐ Yes ☒ No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

c. ☐ Yes ☒ No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

d. ☐ Yes ☒ No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

e. Indicate what kinds of information you share with prospective landlords? (select all that apply)

- ☐ Criminal or drug-related activity
- ☐ Other (describe below)

(2) Waiting List Organization

a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)

- ☒ None
- ☐ Federal public housing
- ☐ Federal moderate rehabilitation
- ☐ Federal project-based certificate program
- ☐ Other federal or local program (list below)

b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)

- ☐ PHA main administrative office
- ☒ Other (list below)

The list is currently closed. When the list reopens the Housing Authority will advertise through public notice in the newspapers, minority publications, local agencies and media entities. When the waiting list is open, any family asking to be placed on the waiting list for Section 8 Rental Assistance will be given the opportunity to complete an interest list form. When the interest list form is submitted to the Housing Authority it establishes the family's date and time of registration for placement order on the waiting list.

(3) Search Time

- a. ☒ Yes ☐ No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below: **Due to lack of affordable housing we routinely give 120 days for search. We will extend beyond 120 days based on accommodation for special needs, verified medical issues and other extenuating circumstances demonstrating the need for more time and the reason housing was not located during the 120 days.**

(4) Admissions Preferences

- a. Income targeting

- ☐ Yes ☒ No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of all new admissions to the section 8 program to families at or below 30% of median area income?

- b. Preferences

1. ☐ Yes ☒ No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent **(5) Special purpose section 8 assistance programs**)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences

- ☐ Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
☐ Victims of domestic violence
☐ Substandard housing
☐ Homelessness
☐ High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
☐ Veterans and veterans' families
☐ Residents who live and/or work in your jurisdiction
☐ Those enrolled currently in educational, training, or upward mobility programs
☐ Households that contribute to meeting income goals (broad range of incomes)
☐ Households that contribute to meeting income requirements (targeting)
☐ Those previously enrolled in educational, training, or upward mobility programs

- ☐ Victims of reprisals or hate crimes
☐ Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

1 Date and Time

Former Federal preferences

Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
 Victims of domestic violence
 Substandard housing
 Homelessness
 High rent burden

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
☐ Veterans and veterans’ families
☐ Residents who live and/or work in your jurisdiction
☐ Those enrolled currently in educational, training, or upward mobility programs
☐ Households that contribute to meeting income goals (broad range of incomes)
☐ Households that contribute to meeting income requirements (targeting)
☐ Those previously enrolled in educational, training, or upward mobility programs
☐ Victims of reprisals or hate crimes
☐ Other preference(s) (list below)

4. Among applicants on the waiting list with equal preference status, how are applicants selected? (select one)

- ☒ Date and time of application
☐ Drawing (lottery) or other random choice technique

5. If the PHA plans to employ preferences for “residents who live and/or work in the jurisdiction” (select one) **N/A**

- ☐ This preference has previously been reviewed and approved by HUD
☐ The PHA requests approval for this preference through this PHA Plan

6. Relationship of preferences to income targeting requirements: (select one) **N/A**

- ☐ The PHA applies preferences within income tiers
☐ Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Special Purpose Section 8 Assistance Programs

- a. In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained? (select all that apply)

- ☒ The Section 8 Administrative Plan
☐ Briefing sessions and written materials
☐ Other (list below)

- b. How does the PHA announce the availability of any special-purpose section 8 programs to the public?

- ☒ Through published notices
☐ Other (list below)

4. PHA Rent Determination Policies

[24 CFR Part 903.7 9 (d)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete sub-component 4A.

(1) Income Based Rent Policies

Describe the PHA's income based rent setting policy/ies for public housing using, including discretionary (that is, not required by statute or regulation) income disregards and exclusions, in the appropriate spaces below.

- a. Use of discretionary policies: (select one)

- ☐ The PHA will not employ any discretionary rent-setting policies for income based rent in public housing. Income-based rents are set at the higher of 30% of adjusted monthly income, 10% of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub-component (2))

---or---

- ☒ The PHA employs discretionary policies for determining income based rent (If selected, continue to question b.)

- b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

- ☐ \$0
☒ \$1-\$25
☐ \$26-\$50

2. ☐ Yes ☒ No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

3. If yes to question 2, list these policies below:

- c. Rents set at less than 30% than adjusted income

1. ☐ Yes ☐ No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30% of adjusted income?
2. If yes to above, list the amounts or percentages charged and the circumstances under which these will be used below:

d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ (select all that apply)

- ☐ For the earned income of a previously unemployed household member
- ☐ For increases in earned income
- ☐ Fixed amount (other than general rent-setting policy)

If yes, state amount/s and circumstances below:

- ☐ Fixed percentage (other than general rent-setting policy)
- If yes, state percentage/s and circumstances below:

- ☐ For household heads
- ☐ For other family members
- ☐ For transportation expenses
- ☐ For the non-reimbursed medical expenses of non-disabled or non-elderly families
- ☐ Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income) (select one)

- ☒ Yes for all developments
- ☐ Yes but only for some developments
- ☐ No

2. For which kinds of developments are ceiling rents in place? (select all that apply)

- ☒ For all developments
- ☐ For all general occupancy developments (not elderly or disabled or elderly only)
- ☐ For specified general occupancy developments
- ☐ For certain parts of developments; e.g., the high-rise portion
- ☐ For certain size units; e.g., larger bedroom sizes
- ☐ Other (list below)

3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)

- ☐ Market comparability study
- ☒ Fair market rents (FMR)
- ☐ 95th percentile rents
- ☐ 75 percent of operating costs
- ☐ 100 percent of operating costs for general occupancy (family) developments

- ☐ Operating costs plus debt service
- ☐ The "rental value" of the unit
- ☐ Other (list below)

f. Rent re-determinations:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)

- ☐ Never
- ☐ At family option
- ☒ Any time the family experiences an income increase
- ☒ Any time a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold) **\$40.00 a month**
- ☐ Other (list below)

g. ☐ Yes ☒ No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12 month disallowance of earned income and phasing in of rent increases in the next year?

(2) Flat Rents

1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)

- ☐ The section 8 rent reasonableness study of comparable housing
- ☐ Survey of rents listed in local newspaper
- ☐ Survey of similar unassisted units in the neighborhood
- ☒ Other (list/describe below)

The Fiscal Year 2001 Fair Market Rents based on the 40th percentile, which the U.S. Department of Housing and Urban Development published.

B. Section 8 Tenant-Based Assistance

Exemptions: PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B. **Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

(1) Payment Standards

Describe the voucher payment standards and policies.

a. What is the PHA's payment standard? (select the category that best describes your standard)

- ☐ At or above 90% but below 100% of FMR
- ☐ 100% of FMR
- ☒ Above 100% but at or below 110% of FMR
- ☐ Above 110% of FMR (if HUD approved; describe circumstances below)

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- ☐ FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
- ☐ The PHA has chosen to serve additional families by lowering the payment standard
- ☐ Reflects market or submarket
- ☐ Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)

- ☒ FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
- ☒ Reflects market or submarket
- ☒ To increase housing options for families
- ☐ Other (list below)

d. How often are payment standards reevaluated for adequacy? (select one)

- ☒ Annually
- ☐ Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)

- ☒ Success rates of assisted families
- ☒ Rent burdens of assisted families
- ☒ Other (list below)
 - Rental data comparability studies

(2) Minimum Rent

a. What amount best reflects the PHA's minimum rent? (select one)

- ☐ \$0
- ☐ \$1-\$25
- ☒ \$26-\$50

b. ☐ Yes ☒ No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

5. Operations and Management

[24 CFR Part 903.7 9 (e)]

Exemptions from Component 5: High performing and small PHAs are not required to complete this section. Section 8 only PHAs must complete parts A, B, and C(2)

A. PHA Management Structure

Describe the PHA's management structure and organization.

(select one)

- ☒ An organization chart showing the PHA's management structure and organization is attached.
- ☐ A brief description of the management structure and organization of the PHA follows:

B. HUD Programs Under PHA Management

List Federal programs administered by the PHA, number of families served at the beginning of the upcoming fiscal year, and expected turnover in each. (Use "NA" to indicate that the PHA does not operate any of the programs listed below.)

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing	570	57
Section 8 Vouchers	7356	720
Section 8 Certificates	129	0
Section 8 Mod Rehab	280	20
Special Purpose Section 8 Certificates/Vouchers (list individually)		
Public Housing Drug Elimination Program (PHDEP)	N/A	
Other Federal Programs(list individually)		
Welfare to Work	700	15

C. Management and Maintenance Policies

List the PHA's public housing management and maintenance policy documents, manuals and handbooks that contain the Agency's rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing Section 8 management.

(1) Public Housing Maintenance and Management: (list below)

- **Property Management Policies and Procedures Manual**
- **Public Housing Admissions and Continued Occupancy Plan**

(2) Section 8 Management: (list below)

- **Section 8 Administrative Plan**

6. PHA Grievance Procedures

[24 CFR Part 903.7 9 (f)]

Exemptions from component 6: High performing PHAs are not required to complete component 6. Section 8-Only PHAs are exempt from sub-component 6A.

A. Public Housing

1. ☐ Yes ☒ No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)

- ☒ PHA main administrative office
☒ PHA development management offices
☐ Other (list below)

B. Section 8 Tenant-Based Assistance

1. ☐ Yes ☒ No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)

- ☒ PHA main administrative office
☐ Other (list below)

7. Capital Improvement Needs

[24 CFR Part 903.7 9 (g)]

Exemptions from Component 7: Section 8 only PHAs are not required to complete this component and may skip to Component 8.

A. Capital Fund Activities

Exemptions from sub-component 7A: PHAs that will not participate in the Capital Fund Program may skip to component 7B. All other PHAs must complete 7A as instructed.

(1) Capital Fund Program Annual Statement

Using parts I, II, and III of the Annual Statement for the Capital Fund Program (CFP), identify capital activities the PHA is proposing for the upcoming year to ensure long-term physical and social viability of its public housing developments. This statement can be completed by using the CFP Annual Statement tables provided in the table library at the end of the PHA Plan template **OR**, at the PHA's option, by completing and attaching a properly updated HUD-52837.

Select one:

- ☒ **The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment L**

-or-

- ☐ The Capital Fund Program Annual Statement is provided below:

(2) Optional 5-Year Action Plan

Agencies are encouraged to include a 5-Year Action Plan covering capital work items. This statement can be completed by using the 5 Year Action Plan table provided in the table library at the end of the PHA Plan template **OR** by completing and attaching a properly updated HUD-52834.

a. ☒ Yes ☐ No: Is the PHA providing an optional 5-Year Action Plan for the Capital Fund? (if no, skip to sub-component 7B)

b. If yes to question a, select one:

☒ **The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan at Attachment J.**

-or-

☐ The Capital Fund Program 5-Year Action Plan is provided below: (if selected, copy the CFP optional 5 Year Action Plan from the Table Library and insert here)

B. HOPE VI and Public Housing Development and Replacement Activities (Non-Capital Fund)

Applicability of sub-component 7B: All PHAs administering public housing. Identify any approved HOPE VI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

☐ Yes ☒ No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)
b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name:

2. Development (project) number:

3. Status of grant: (select the statement that best describes the current status)

- ☐ Revitalization Plan under development
- ☐ Revitalization Plan submitted, pending approval
- ☐ Revitalization Plan approved
- ☐ Activities pursuant to an approved Revitalization Plan underway

☐ Yes ☒ No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?
If yes, list development name/s below:

☐ Yes ☒ No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?
If yes, list developments or activities below:

☐ Yes ☒ No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?
If yes, list developments or activities below:

8. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

Applicability of component 8: Section 8 only PHAs are not required to complete this section.

1. ☐ Yes ☒ No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If “No”, skip to component 9; if “yes”, complete one activity description for each development.)

2. Activity Description

- ☐ Yes ☐ No: Has the PHA provided the activities description information in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 9. If “No”, complete the Activity Description table below.)

Demolition/Disposition Activity Description
1a. Development name:
1b. Development (project) number:
2. Activity type: Demolition <input type="checkbox"/> Disposition <input type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date application approved, submitted, or planned for submission: <u>(DD/MM/YY)</u>
5. Number of units affected:
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: b. Projected end date of activity:

9. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families and Families with Disabilities

[24 CFR Part 903.7 9 (i)]

Exemptions from Component 9: Section 8 only PHAs are not required to complete this section.

1. ☐ Yes ☒ No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year? (If “No”, skip to component 10. If “yes”, complete one activity description

for each development, unless the PHA is eligible to complete a streamlined submission; PHAs completing streamlined submissions may skip to component 10.)

2. Activity Description

- ☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If “yes”, skip to component 10. If “No”, complete the Activity Description table below.

Designation of Public Housing Activity Description
1a. Development name:
1b. Development (project) number:
2. Designation type: Occupancy by only the elderly <input type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA’s Designation Plan <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved, submitted, or planned for submission: (DD/MM/YY)
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected:
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

10. Conversion of Public Housing to Tenant-Based Assistance

[24 CFR Part 903.7 9 (j)]

Exemptions from Component 10; Section 8 only PHAs are not required to complete this section.

A. Assessments of Reasonable Revitalization Pursuant to section 202 of the HUD FY 1996 HUD Appropriations Act

1. ☐ Yes ☒ No: Have any of the PHA’s developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act? (If “No”, skip to component 11; if “yes”, complete one activity description for each identified development, unless eligible to complete a streamlined submission. PHAs completing streamlined submissions may skip to component 11.)

2. Activity Description

- ☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If “yes”, skip to component 11. If “No”, complete the Activity Description table below.

Conversion of Public Housing Activity Description
1a. Development name: 1b. Development (project) number:
2. What is the status of the required assessment? <input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)
3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)
4. Status of Conversion Plan (select the statement that best describes the current status) <input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway
5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one) <input type="checkbox"/> Units addressed in a pending or approved demolition application (date submitted or approved: <input type="checkbox"/> Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved:) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved:) <input type="checkbox"/> Requirements no longer applicable: vacancy rates are less than 10 percent <input type="checkbox"/> Requirements no longer applicable: site now has less than 300 units <input type="checkbox"/> Other: (describe below)

B. Reserved for Conversions pursuant to Section 22 of the U.S. Housing Act of 1937

C. Reserved for Conversions pursuant to Section 33 of the U.S. Housing Act of 1937

11. Homeownership Programs Administered by the PHA

[24 CFR Part 903.7 9 (k)]

A. Public Housing

Exemptions from Component 11A: Section 8 only PHAs are not required to complete 11A.

1. ☐ Yes ☒ No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an

approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If “No”, skip to component 11B; if “yes”, complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to **small PHA** or **high performing PHA** status. PHAs completing streamlined submissions may skip to component 11B.)

2. Activity Description

☐ Yes ☐ No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 12. If “No”, complete the Activity Description table below.)

Public Housing Homeownership Activity Description (Complete one for each development affected)
1a. Development name: 1b. Development (project) number:
2. Federal Program authority: <input type="checkbox"/> HOPE I <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)
3. Application status: (select one) <input type="checkbox"/> Approved; included in the PHA’s Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (DD/MM/YYYY)
5. Number of units affected: 6. Coverage of action: (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

B. Section 8 Tenant Based Assistance

1. ☒ Yes ☐ No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If “No”, skip to component 12; if “yes”, describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

2. Program Description:

a. Size of Program

☒ Yes ☐ No: Will the PHA limit the number of families participating in the section 8 homeownership option?

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

- ☒ 25 or fewer participants
☐ 26 - 50 participants
☐ 51 to 100 participants
☐ more than 100 participants

b. PHA-established eligibility criteria

☒ Yes ☐ No: Will the PHA's program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?

If yes, list criteria below:

- Family Self-Sufficiency participant or graduate
- Persons with disabilities who are not part of the FSS program

12. PHA Community Service and Self-sufficiency Programs

[24 CFR Part 903.7 9 (l)]

Exemptions from Component 12: High performing and small PHAs are not required to complete this component. Section 8-Only PHAs are not required to complete sub-component C.

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

☒ Yes ☐ No: Has the PHA has entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed? **04/23/99**

2. Other coordination efforts between the PHA and TANF agency (select all that apply)

- ☒ Client referrals
☒ Information sharing regarding mutual clients (for rent determinations and otherwise)
☒ Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
☒ Jointly administer programs
☒ Partner to administer a HUD Welfare-to-Work voucher program
☐ Joint administration of other demonstration program
☒ Other (describe)
Using CalWorks Incentive Funds, create a Landlord Outreach Program

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (select all that apply)

- ☐ Public housing rent determination policies
- ☐ Public housing admissions policies
- ☐ Section 8 admissions policies
- ☐ Preference in admission to section 8 for certain public housing families
- ☐ Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA
- ☐ Preference/eligibility for public housing homeownership option participation
- ☒ Preference/eligibility for section 8 homeownership option participation
- ☐ Other policies (list below)

b. Economic and Social self-sufficiency programs

- ☒ Yes ☐ No: Does the PHA coordinate, promote or provide any programs to enhance the economic and social self-sufficiency of residents? (If “yes”, complete the following table; if “no” skip to sub-component 2, Family Self Sufficiency Programs. The position of the table may be altered to facilitate its use.)

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or section 8 participants or both)
<i>Tenant Scholarships</i>	<i>30+</i>	<i>Application</i>	<i>Main Office</i>	<i>Both</i>
<i>Work Force Investment Act Mandatory Partner</i>		<i>Other</i>	<i>Information regarding job training will be shared with tenants and residents</i>	<i>Both</i>

(2) Family Self Sufficiency program/s

a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2001 Estimate)	Actual Number of Participants (As of: 4/17/01)
Public Housing	37	4
Section 8	400	296

- b. ☐ Yes ☒ No: If the PHA is not maintaining the minimum program size required by HUD, does the most recent FSS Action Plan address the steps the PHA plans to take to achieve at least the minimum program size?
If no, list steps the PHA will take below:

Once new FSS Coordinators are hired, recruitment for Section 8 should improve. Funding was received in February, 2000.

C. Welfare Benefit Reductions

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)
- ☒ Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
 - ☒ Informing residents of new policy on admission and reexamination
 - ☐ Actively notifying residents of new policy at times in addition to admission and reexamination.
 - ☒ Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
 - ☒ Establishing a protocol for exchange of information with all appropriate TANF agencies
 - ☐ Other: (list below)

D. Reserved for Community Service Requirement pursuant to section 12(c) of the U.S. Housing Act of 1937

The New Community Service and Self-Sufficiency Requirements for Public Housing became effective April 28, 2000. Chapter 16 of the Housing Authority of the County of Santa Clara's Public Housing Admissions and Continued Occupancy Plan reflects HUD's Final Rule Secs. 960.601-960.609. The Housing Authority is now required to institute a program that all adults in the household who are not elderly or a person with a disability (and unable to comply with the requirement), perform at least 8 hours of community service per month.

13. PHA Safety and Crime Prevention Measures

[24 CFR Part 903.7 9 (m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8 Only PHAs may skip to component 15. High Performing and small PHAs that are participating in PHDEP and are submitting a PHDEP Plan with this PHA Plan may skip to sub-component D.

A. Need for measures to ensure the safety of public housing residents

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)

- ☐ High incidence of violent and/or drug-related crime in some or all of the PHA's developments
- ☐ High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
- ☐ Residents fearful for their safety and/or the safety of their children
- ☐ Observed lower-level crime, vandalism and/or graffiti
- ☐ People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- ☐ Other (describe below)

2. What information or data did the PHA use to determine the need for PHA actions to improve safety of residents (select all that apply).

- ☐ Safety and security survey of residents
- ☐ Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- ☐ Analysis of cost trends over time for repair of vandalism and removal of graffiti
- ☐ Resident reports
- ☐ PHA employee reports
- ☐ Police reports
- ☐ Demonstrable, quantifiable success with previous or ongoing anticrime/anti drug programs
- ☐ Other (describe below)

3. Which developments are most affected? (list below)

B. Crime and Drug Prevention activities the PHA has undertaken or plans to undertake in the next PHA fiscal year

1. List the crime prevention activities the PHA has undertaken or plans to undertake: (select all that apply)

- ☐ Contracting with outside and/or resident organizations for the provision of crime- and/or drug-prevention activities
- ☐ Crime Prevention Through Environmental Design
- ☐ Activities targeted to at-risk youth, adults, or seniors
- ☐ Volunteer Resident Patrol/Block Watchers Program
- ☐ Other (describe below)

2. Which developments are most affected? (list below)

C. Coordination between PHA and the police

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- ☐ Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan

- ☐ Police provide crime data to housing authority staff for analysis and action
 - ☐ Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
 - ☐ Police regularly testify in and otherwise support eviction cases
 - ☐ Police regularly meet with the PHA management and residents
 - ☐ Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
 - ☐ Other activities (list below)
2. Which developments are most affected? (list below)

D. Additional information as required by PHDEP/PHDEP Plan

PHAs eligible for FY 2001 PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

- ☒ Yes ☐ No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- ☐ Yes ☒ No: Has the PHA included the PHDEP Plan for FY 2001 in this PHA Plan?
- ☐ Yes ☐ No: This PHDEP Plan is an Attachment. (Attachment Filename: ____)

14. RESERVED FOR PET POLICY

[24 CFR Part 903.7 9 (n)]

HUD published the Final Pet Rule per the directions of QWHRA. Changes were made to Chapter 10 of the Housing Authority of the County of Santa Clara's Public Housing Admissions and Continued Occupancy Plan to reflect the rule which became effective August 9, 2000. Chapter 10 explains the Housing Authority's policies on the keeping of pets and any criteria or standards pertaining to the policy. The purpose of this policy is to establish procedures in accordance with the Final Rule for the ownership of pets in elderly and disabled units and to ensure that no applicant or resident is discriminated against regarding admission or continued occupancy because of ownership of pets. It also establishes rules governing the keeping of common household pets.

15. Civil Rights Certifications

[24 CFR Part 903.7 9 (o)]

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

16. Fiscal Audit

[24 CFR Part 903.7 9 (p)]

1. ☒ Yes ☐ No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))?(If no, skip to component 17.)
2. ☒ Yes ☐ No: Was the most recent fiscal audit submitted to HUD?
3. ☐ Yes ☒ No: Were there any findings as the result of that audit?
4. ☐ Yes ☒ No: If there were any findings, do any remain unresolved?

- If yes, how many unresolved findings remain? _____
5. ☐ Yes ☒ No: Have responses to any unresolved findings been submitted to HUD?
If not, when are they due (state below)? **N/A**

17. PHA Asset Management

[24 CFR Part 903.7 9 (q)]

Exemptions from component 17: Section 8 Only PHAs are not required to complete this component. High performing and small PHAs are not required to complete this component.

1. ☒ Yes ☐ No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock , including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?
2. What types of asset management activities will the PHA undertake? (select all that apply)
- ☐ Not applicable
- ☐ Private management
- ☒ Development-based accounting
- ☒ Comprehensive stock assessment
- ☐ Other: (list below)
3. ☐ Yes ☒ No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

18. Other Information

[24 CFR Part 903.7 9 (r)]

A. Resident Advisory Board Recommendations

1. ☒ Yes ☐ No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?
2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)
- ☒ Attached at Attachment P
- ☐ Provided below:
3. In what manner did the PHA address those comments? (select all that apply)
- ☐ Considered comments, but determined that no changes to the PHA Plan were necessary.
- ☐ The PHA changed portions of the PHA Plan in response to comments
List changes below:
- ☐ Other: (list below)

B. Description of Election process for Residents on the PHA Board

1. ☐ Yes ☒ No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)
2. ☐ Yes ☒ No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

3. Description of Resident Election Process

a. Nomination of candidates for place on the ballot: (select all that apply)

- ☐ Candidates were nominated by resident and assisted family organizations
- ☐ Candidates could be nominated by any adult recipient of PHA assistance
- ☐ Self-nomination: Candidates registered with the PHA and requested a place on ballot
- ☒ Other: (describe)

Appointed by Santa Clara County Board of Supervisors

b. Eligible candidates: (select one)

- ☒ Any recipient of PHA assistance
- ☐ Any head of household receiving PHA assistance
- ☐ Any adult recipient of PHA assistance
- ☐ Any adult member of a resident or assisted family organization
- ☐ Other (list)

c. Eligible voters: (select all that apply)

- ☐ All adult recipients of PHA assistance (public housing and section 8 tenant-based assistance)
- ☐ Representatives of all PHA resident and assisted family organizations
- ☒ Other (list)

Appointed by Santa Clara County Board of Supervisors

C. Statement of Consistency with the Consolidated Plan

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: **Santa Clara County, Housing and Community Development, Consolidated Plan for the Period 2000 - 2005**

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☐ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☐ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☐ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)

☐ Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:

- **To encourage development of more affordable housing**
- **To preserve affordable housing subject to loss by conversion**
- **To preserved Section 8 funding and support application for additional funds**

1. Consolidated Plan jurisdiction: **City of San Jose, Housing Department, 2000 - 2005 Consolidated Plan, 1999 Update**

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☐ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☐ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☐ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- ☐ Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:

- **To encourage development of more affordable housing**
- **To preserve affordable housing subject to loss by conversion**
- **To preserved Section 8 funding and support application for additional funds**

1. Consolidated Plan jurisdiction: **City of Palo Alto, Housing and Community Development, Consolidated Plan, for the July 1, 2000 to June 30, 2005**

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☐ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☐ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☐ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)

☐ Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:

- **To encourage development of more affordable housing**
- **To preserve affordable housing subject to loss by conversion**
- **To preserved Section 8 funding and support application for additional funds**

1. Consolidated Plan jurisdiction: **City of Santa Clara, Consolidated Plan, for the Period 1995 - 2000**

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☐ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☐ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☐ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)

☐ Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:

- **To encourage development of more affordable housing**
- **To preserve affordable housing subject to loss by conversion**
- **To preserved Section 8 funding and support application for additional funds**

1. Consolidated Plan jurisdiction: **City of Mountain View, Consolidated Plan, 2000 - 2005**

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☐ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☐ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☐ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)

☐ Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:

- **To encourage development of more affordable housing**
- **To preserve affordable housing subject to loss by conversion**
- **To preserved Section 8 funding and support application for additional funds**

1. Consolidated Plan jurisdiction: **City of Sunnyvale, Consolidated Plan, 2000 - 2005**

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☐ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☐ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☐ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- ☐ Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:

- **To encourage development of more affordable housing**
- **To preserve affordable housing subject to loss by conversion**
- **To preserved Section 8 funding and support application for additional funds**

1. Consolidated Plan jurisdiction: **City of Milpitas, Consolidated Plan, March 1997**

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☐ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☐ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☐ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- ☐ Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:

- **To encourage development of more affordable housing**
- **To preserve affordable housing subject to loss by conversion**
- **To preserved Section 8 funding and support application for additional funds**

1. Consolidated Plan jurisdiction: **City of Gilroy, Consolidated Plan, July 1, 2000 - June 30, 2005**

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- ☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- ☐ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- ☐ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- ☐ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- ☐ Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments:

- **To encourage development of more affordable housing**
- **To preserve affordable housing subject to loss by conversion**
- **To preserved Section 8 funding and support application for additional funds**

D. Other Information Required by HUD

Use this section to provide any additional information requested by HUD.

Attachments

Use this section to provide any additional attachments referenced in the Plans.

Executive Summary

Housing Authority of the County of Santa Clara

The Housing Authority of the County of Santa Clara has prepared its Agency Plan in compliance with both Section 511 of the *Quality Housing and Work Responsibility Act (QHWRA) of 1998* and the ensuing requirements of the U.S. Department of Housing and Urban Development.

The Housing Authority of the County of Santa Clara has adopted the following mission statement to guide its activities:

The mission of the Housing Authority of the County of Santa Clara is to provide as much decent, safe and sanitary housing as possible for the low-income families, residents with disabilities and seniors in the Santa Clara Valley.

Our philosophy, goals and professional commitment are dedicated toward fulfilling this mission.

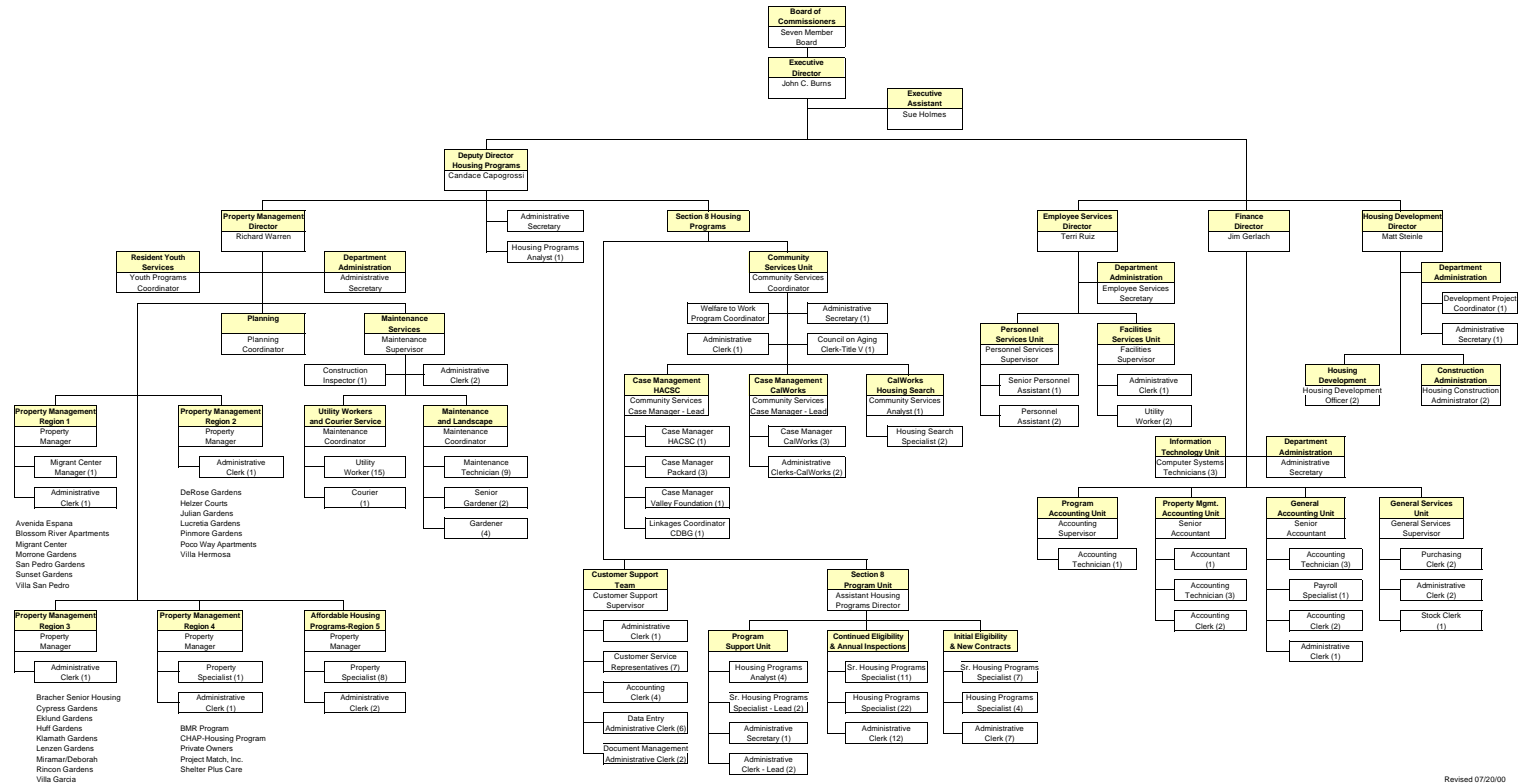
Over the next five years the Housing Authority of the County of Santa Clara will pursue the following primary goals:

- **Increase the availability of decent, safe and affordable housing by improving the quantity, quality, and variety of housing choices in the community;**
- **Improve the community quality of life and economic vitality by participating in work force investment activities, by increasing income levels for 30% of clients and by utilizing the voucher program for homeownership;**
- **Promote self-sufficiency and asset development of families and individuals by supporting the Family Self-Sufficiency Program, by linking TANF recipients to CalWORKS and other appropriate programs and by increasing the number of families served by the agency's existing educational scholarship fund;**
- **Take affirmative measures to ensure Equal Opportunity in Housing for all families living in assisted housing regardless of race, color, religion, national origin, sex, familial status and disability.**

The Annual Plan of the Housing Authority of the County of Santa Clara is based on the premise that accomplishing the above five-year goals will move the Housing Authority in a direction consistent with its mission. The policies, procedures, plans and budgets set forth in the Annual Plan all support and promote the accomplishment of the stated goals and objectives. Both the Agency Plan and the Annual Plan outline a comprehensive approach to meeting these goals and objectives, and they are consistent with the Consolidated Plans of the eight jurisdictions in Santa Clara County.

A Resident Advisory Council has thoroughly reviewed both the Five-Year Plan and the Annual Plan. This representative group met and discussed the plans on five separate occasions. Their comments have been summarized and are included in the documents.

HOUSING AUTHORITY OF THE COUNTY OF SANTA CLARA



List of Consolidated Plans for the Jurisdictions of the Housing Authority of the County of Santa Clara

The Housing Authority of the County of Santa Clara has ensured consistency of its plan with the Consolidated Plans for the following jurisdictions:

Santa Clara County
Housing and Community Development
Consolidated Plan for the Period 2000 - 2005

City of San Jose
Housing Department
2000 - 2005 Consolidated Plan

City of Palo Alto
Housing and Community Development
Consolidated Plan
for the Period July 1, 2000 to June 30, 2005

City of Santa Clara
Consolidated Plan
for the Period 2000 - 2005

City of Mountain View
Consolidated Plan
2000 - 2005

City of Sunnyvale
Consolidated Plan
2000 - 2005

City of Milpitas
Draft Consolidated Annual Performance Evaluation Report
July 1, 1998 to June 30, 1999

City of Gilroy
Consolidated Plan
July 1, 2000 to June 30, 2005

Table of Contents

Chapter 1

STATEMENT OF POLICIES AND OBJECTIVES

A.	HOUSING AUTHORITY MISSION STATEMENT [OR HISTORICAL INFORMATION ON THE AGENCY].....	1-1
B.	LOCAL OBJECTIVES	1-1
C.	PURPOSE OF THE POLICY	1-2
D.	FAIR HOUSING POLICY	1-2
E.	SERVICE AND ACCOMMODATIONS POLICY	1-4
F.	TRANSLATION OF DOCUMENTS	1-5
G.	PUBLIC HOUSING MANAGEMENT ASSESSMENT SYSTEM (PHAS) OBJECTIVES	1-6
H.	FAMILY OUTREACH	1-6
I.	PRIVACY RIGHTS	1-7
J.	POSTING OF REQUIRED INFORMATION	1-7
K.	TERMINOLOGY	1-8

Chapter 2

ELIGIBILITY FOR ADMISSION

A.	QUALIFICATION FOR ADMISSION	2-1
B.	FAMILY COMPOSITION.....	2-2
C.	MANDATORY SOCIAL SECURITY NUMBERS	2-4
D.	CITIZENSHIP/ELIGIBLE IMMIGRATION STATUS.....	2-4
E.	OTHER ELIGIBILITY CRITERIA	2-5
F.	ONE STRIKE POLICY	2-6
G.	SCREENING FOR SUITABILITY	2-10
H.	HEARINGS	2-16

Chapter 3

APPLYING FOR ADMISSION

A.	HOW TO APPLY	3-1
B.	“INITIAL” APPLICATION PROCEDURES	3-2
C.	NOTIFICATION OF APPLICANT STATUS	3-2
D.	COMPLETION OF A FULL APPLICATION.....	3-3
E.	PROCESSING APPLICATIONS	3-4
F.	FINAL DETERMINATION AND NOTIFICATION OF ELIGIBILITY	3-4

Table of Contents

Chapter 4

TENANT SELECTION AND ASSIGNMENT PLAN

A.	MANAGEMENT OF THE WAITING LIST.....	4-1
B.	SITE BASED WAITING LISTS.....	4-4
C.	INCOME TARGETING	4-6
D.	MIXED POPULATION UNITS	4-6
E.	GENERAL OCCUPANCY UNITS.....	4-7
F.	DECONCENTRATION OF POVERTY AND INCOME-MIXING.....	4-7
G.	REMOVAL FROM WAITING LIST AND PURGING.....	4-9
H.	OFFER OF ACCESSIBLE UNITS.....	4-9
I.	PLAN FOR UNIT OFFERS.....	4-10
J.	CHANGES PRIOR TO UNIT OFFER.....	4-10
K.	APPLICANT STATUS AFTER FINAL UNIT OFFER.....	4-10
L.	TIME-LIMIT FOR ACCEPTANCE OF UNIT	4-11
M.	REFUSAL OF OFFER.....	4-11

Chapter 5

7

OCCUPANCY GUIDELINES

A.	DETERMINING UNIT SIZE.....	5-1
B.	EXCEPTIONS TO OCCUPANCY STANDARDS	5-2
C.	ACCESSIBLE UNITS	5-3
D.	FAMILY MOVES.....	5-3

Chapter 6

DETERMINATION OF TOTAL TENANT PAYMENT

A.	MINIMUM RENT	6-1
B.	INCOME AND ALLOWANCES	6-3
C.	TRAINING INCOME EXCLUSIONS	6-4
D.	AVERAGING INCOME.....	6-8
E.	MINIMUM INCOME	6-8
F.	INCOME OF PERSON PERMANENTLY CONFINED TO NURSING HOME	6-9
G.	REGULAR CONTRIBUTIONS AND GIFTS	6-9
H.	ALIMONY AND CHILD SUPPORT	6-9
I.	LUMP-SUM RECEIPTS	6-10
J.	CONTRIBUTIONS TO RETIREMENT FUNDS- ASSETS	6-11

Table of Contents

K.	ASSETS DISPOSED OF FOR LESS THAN FAIR MARKET VALUE	6-11
L.	CHILD CARE EXPENSES	6-11
M.	MEDICAL EXPENSES	6-12
N.	PRORATION OF ASSISTANCE FOR “MIXED” FAMILIES	6-12
O.	REDUCTION IN BENEFITS	6-13
P.	UTILITY ALLOWANCE AND UTILITY REIMBURSEMENT PAYMENTS	6-13
Q.	EXCESS UTILITY PAYMENTS	6-14
R.	CEILING RENTS	6-14
S.	FAMILY CHOICE IN RENTS	6-15
T.	HOUSING AUTHORITY’S FLAT RENT METHODOLOGY	6-17

Chapter 7

VERIFICATION PROCEDURES

A.	METHODS OF VERIFICATION AND TIME ALLOWED	7-1
B.	RELEASE OF INFORMATION	7-3
C.	COMPUTER MATCHING	7-3
D.	ITEMS TO BE VERIFIED	7-3
E.	VERIFICATION OF INCOME	7-4
F.	INCOME FROM ASSETS	7-8
G.	VERIFICATION OF ASSETS	7-8
H.	VERIFICATION OF ALLOWABLE DEDUCTIONS FROM INCOME	7-9
I.	VERIFYING NON-FINANCIAL FACTORS	7-11
J.	VERIFICATION OF SUITABILITY FOR ADMISSION	7-16
K.	VERIFICATION OF WAITING LIST PREFERENCES	7-17

Chapter 8

TRANSFER POLICY

A.	GENERAL STATEMENT	8-1
----	-------------------------	-----

Chapter 9

LEASING

A.	LEASE ORIENTATION	9-1
B.	EXECUTION OF LEASE	9-4
C.	ADDITIONS TO THE LEASE	9-5
D.	LEASING UNITS WITH ACCESSIBLE OR ADAPTABLE FEATURES	9-6
E.	UTILITY SERVICES	9-7

Table of Contents

F.	SECURITY DEPOSITS.....	9-7
G.	RENT PAYMENTS.....	9-8
H.	FEES AND NONPAYMENT PENALTIES.....	9-8
I.	SCHEDULES OF SPECIAL CHARGES.....	9-9
J.	MODIFICATIONS TO THE LEASE.....	9-9
K.	CANCELLATION OF THE LEASE.....	9-9
L.	INSPECTIONS OF PUBLIC HOUSING UNITS.....	9-10

Chapter 10

PET POLICY

A.	MANAGEMENT APPROVAL OF PETS.....	10-1
B.	STANDARDS FOR PETS.....	10-2
C.	PETS TEMPORARILY ON THE PREMISES.....	10-4
D.	DESIGNATION OF PET/NO PET AREAS.....	10-4
E.	ADDITIONAL FEES AND DEPOSITS FOR PETS.....	10-4
F.	ALTERATIONS TO UNIT.....	10-5
G.	PET WASTE REMOVAL CHARGE.....	10-5
H.	PET AREA RESTRICTIONS.....	10-5
I.	NOISE.....	10-6
J.	CLEANLINESS REQUIREMENTS.....	10-6
K.	PET CARE.....	10-6
L.	RESPONSIBLE PARTIES.....	10-7
M.	INSPECTIONS.....	10-7
N.	PET RULE VIOLATION NOTICE.....	10-7
O.	NOTICE FOR PET REMOVAL.....	10-7
P.	TERMINATION OF TENANCY.....	10-7
Q.	PET REMOVAL.....	10-8
R.	EMERGENCIES.....	10-8

Chapter 11

RECERTIFICATIONS

A.	ELIGIBILITY FOR CONTINUED OCCUPANCY.....	11-1
B.	ANNUAL RECERTIFICATIONS.....	11-1
C.	REPORTING INTERIM CHANGES.....	11-4
D.	INCOME CHANGES RESULTING FROM WELFARE PROGRAM REQUIREMENTS.....	11-7
E.	OTHER INTERIM REPORTING ISSUES.....	11-7

Table of Contents

F.	TIMELY REPORTING OF CHANGES IN INCOME (AND ASSETS)	11-8
G.	REPORTING OF CHANGES IN FAMILY COMPOSITION	11-9
H.	REMAINING MEMBER OF TENANT FAMILY - RETENTION OF UNIT.....	11-13
I.	CHANGES IN UNIT SIZE	11-14
J.	CONTINUANCE OF ASSISTANCE FOR “MIXED” FAMILIES	11-14

Chapter 12

LEASE TERMINATIONS

A.	TERMINATION BY TENANT	12-1
B.	TERMINATION BY HOUSING AUTHORITY	12-1
C.	NOTIFICATION REQUIREMENTS	12-2
D.	TERMINATIONS DUE TO INELIGIBLE IMMIGRATION STATUS	12-4

Chapter 13

COMPLAINTS, GRIEVANCES AND APPEALS

A.	APPLICABILITY	13-1
B.	DEFINITIONS	13-2
C.	INFORMAL SETTLEMENT OF GRIEVANCE	13-3
D.	PROCEDURE TO OBTAIN A FORMAL HEARING	13-4
E.	HEARING PROCEDURES	13-6
F.	DECISION OF THE HEARING PANEL	13-7
G.	JUDICIAL PROCEEDINGS	13-8
H.	ADMINISTRATIVE REVIEW OF HEARING PANEL DECISION	13-8
I.	EVICTON ACTIONS	13-9
J.	GIVING OF NOTICE	13-9
K.	CHANGES TO GRIEVANCE PROCEDURE	13-9
L.	PUBLICATION OF GRIEVANCE PROCEDURE	13-9

Chapter 14

FAMILY DEBTS TO THE HOUSING AUTHORITY

A.	PAYMENT AGREEMENT FOR FAMILIES	14-2
B.	DEBTS DUE TO FRAUD/NON-REPORTING OF INFORMATION	14-4
C.	WRITING OFF DEBTS	14-5

Table of Contents

Chapter 15

GLOSSARY

I.	TERMS USED IN DETERMINING RENT	15-1
II.	GLOSSARY OF HOUSING TERMS	15-9
III.	GLOSSARY OF TERMS USED IN THE NONCITIZENS RULE	15-18

Chapter 16

PROGRAM INTEGRITY ADDENDUM

A.	CRITERIA FOR INVESTIGATION OF SUSPECTED FRAUD AND ABUSE	16-2
B.	STEPS THE HOUSING AUTHORITY WILL TAKE TO PREVENT PROGRAM ABUSE AND FRAUD	16-3
C.	STEPS THE HOUSING AUTHORITY WILL TAKE TO DETECT PROGRAM ABUSE AND FRAUD	16-4
D.	THE HOUSING AUTHORITY'S HANDLING OF ALLEGATIONS OF POSSIBLE ABUSE AND FRAUD	16-5
E.	HOW THE HOUSING AUTHORITY WILL INVESTIGATE ALLEGATIONS OF ABUSE AND FRAUD	16-6
F.	PLACEMENT OF DOCUMENTS, EVIDENCE AND STATEMENTS OBTAINED BY THE HOUSING AUTHORITY	16-7
G.	CONCLUSION OF THE HOUSING AUTHORITY'S INVESTIGATIVE REVIEW	16-7
H.	EVALUATION OF THE FINDINGS	16-7
I.	ACTION PROCEDURES FOR VIOLATIONS WHICH HAVE BEEN DOCUMENTED	16-8

Chapter 1
STATEMENT OF POLICIES AND OBJECTIVES

A. Mission Statement.....	1-1
B. Local Goals.....	1-1
C. Purpose of the Plan.....	1-7
D. Administrative Fee Reserve.....	1-8
E. Rules and Regulations.....	1-8
F. Terminology	1-8
G. Fair Housing Policy.....	1-9
H. Reasonable Accommodations Policy.....	1-10
I. Management Assessment Objectives.....	1-12
J. Records for Monitoring PHA Performance.....	1-14
K. Privacy Rights.....	1-15
L. Family Outreach.....	1-16
M. Owner Outreach.....	1-17

Chapter 2
ELIGIBILITY FOR ADMISSION

A. Eligibility Factors.....	2-1
B. Family Composition	2-3
C. Income Limitations.....	2-7
D. Mandatory Social Security Numbers.....	2-9
E. Citizenship/Eligible Immigration Status.....	2-9
F. Other Criteria for Admissions.....	2-10
G. Tenant Screening.....	2-11
H. Changes in Eligibility Prior to Effective Date of the Contract.....	2-11
I. Ineligible Families.....	2-12
J. Prohibited Admissions Criteria.....	2-12

Chapter 3
APPLYING FOR ADMISSION

A. Overview of the Application Taking Process.....	3-1
B. Opening/Closing of Application Taking.....	3-2
C. “Initial” Application Procedures.....	3-4
D. Applicant Status While on Waiting List.....	3-5
E. Time of Selection.....	3-5
F. Completion of a Full Application.....	3-6
G. Verification.....	3-8
H. Final Determination and Notification of Eligibility.....	3-8

Chapter 4
MAINTAINING THE WAITING LIST

A. Waiting List	4-2
B. Special Admissions.....	4-3
C. Treatment of Single Applicants.....	4-4
D. Income Targeting.....	4-4
E. Targeted Funding.....	4-5
F. Order of Selection.....	4-7
G. Removal from Waiting List and Purging.....	4-7

Chapter 5
SUBSIDY STANDARDS

A. Determining Family Unit (Voucher) Size.....	5-1
B. Exceptions to Subsidy Standards.....	5-3
C. Unit Size Selected.....	5-5

Chapter 6
**FACTORS RELATED TO TOTAL TENANT PAYMENT AND
FAMILY SHARE DETERMINATION**

A. Income and Allowances.....	6-2
B. Minimum Rent.....	6-3
C. Definition of Temporarily/Permanently Absent.....	6-6
D. Averaging Income.....	6-12
E. Minimum Income.....	6-12
F. Income of Person Permanently Confined to Nursing Home.....	6-13
G. Regular Contributions and Gifts.....	6-13
H. Alimony and Child Support.....	6-14
I. Lump-Sum Receipts	6-15
J. Contributions to Retirement Funds - Assets.....	6-18
K. Assets Disposed of for Less Than Fair Market Value.....	6-18
L. Child Care Expenses	6-19
M. Medical Expenses.....	6-20
N. Proration of Assistance for “Mixed” Families.....	6-20
O. Reduction in Benefits.....	6-20
P. Utility Allowance and Utility Reimbursement Payments.....	6-21

Chapter 7
VERIFICATION PROCEDURES

A. Methods of Verification and Time Allowed.....	7-2
B. Release of Information.....	7-5
C. Computer Matching	7-5
D. Items to be Verified	7-6
E. Verification of Income.....	7-7
F. Income from Assets.....	7-13
G. Verification of Assets	7-14
H. Verification of Allowable Deductions From Income.....	7-15
I. Verifying Non-Financial Factors.....	7-18

Chapter 8
VOUCHER ISSUANCE AND BRIEFINGS

A. Issuance of Vouchers.....	8-1
B. Briefing Types and Required Attendance.....	8-2
C. Encouraging Participation in Areas Without Low Income or Minority Concentration.....	8-6
D. Assistance to Families who Claim Discrimination.....	8-7
E. Security Deposit Requirements.....	8-8
F. Term of Voucher.....	8-9
G. Voucher Issuance Determination for Split Households	8-
H. Remaining Member of Tenant Family - Retention of Voucher.....	8-11

10

Chapter 9
REQUEST FOR APPROVAL OF TENANCY AND CONTRACT EXECUTION

A. Request for Approval of Tenancy.....	9-2
B. Eligible Types of Housing.....	9-4
C. Lease Review.....	9-5
D. Initial Inspections.....	9-5
E. Rent Limitations.....	9-6
F. Disapproval of Proposed Rent.....	9-6
G. Information to Owners.....	9-7
H. Owner Disapproval.....	9-8
I. Change in Total Tenant Payment (TTP) Prior to HAP Effective Date	9-8
J. Contract Execution Process.....	9-9
K. Change in Ownership.....	9-9

Table of Contents

Chapter 10
HOUSING QUALITY STANDARDS AND INSPECTIONS

A. Guidelines/Types of Inspections.....	10-2
B. Initial HQS Inspection.....	10-3
C. Inspections.....	10-5
D. Special/Complaint Inspections.....	10-7
E. Quality Control Inspections.....	10-7
F. Emergency Repair Items.....	10-9
G. Consequences if Owner is Responsible (Non-Emergency Items).....	10-11
H. Determination of Responsibility.....	10-12
I. Consequences if Family is Responsible.....	10-13

Chapter 11
OWNER RENTS, RENT REASONABLENESS, AND PAYMENT STANDARDS

A. Rent to Owner in the Housing Choice Voucher Program.....	11-1
B. Making Payments to Owners	11-2
C. Rent Reasonableness Determinations	11-3
D. Payment Standards for the Voucher Program	11-5
E. Adjustments to Payment Standards.....	11-6
F. Exception Payment Standards.....	11-8
G. Owner Payment in the Premerger Regular Certificate Program	11-8
H. Owner Payment in the Premerger Oer Fair Market Rent Tenancy (OFTO and Voucher Programs.....	11-9

Chapter 12
APPLYING FOR ADMISSION

A. Annual Activities.....	12-1
B. Annual Recertification/Re-Examination.....	12-2
C. Reporting Interim Changes.....	12-7
D. Other Interim Reporting Issues.....	12-9
E. Income Changes resulting From Welfare Program Requirements.....	12-10
F. Notification of results of Recertifications.....	12-12
G. Timely Reporting of Changes in Income (and Assets)	12-13
H. Changes in Voucher Size as a Result of Family Composition Changes	12-15
I. Continuance of Assistance for “Mixed” Familie.s.....	12-15
J. Misrepresentation of Family Circumstances.....	12-15

Chapter 13
MOVES WITH CONTINUED ASSISTANCE/PORTABILITY

A. Allowable Moves.....	13-1
B. Restriction on Moves	13-2
C. Procedure for Moves	13-3
D. Portability.....	13-3
E. Outgoing Portability	13-4
F. Incoming Portability.....	13-6

Chapter 14
OWNER RENTS, RENT REASONABLENESS, AND PAYMENT STANDARDS

A. Contract Termination.....	14-1
B. Termination by the Family: Moves.....	14-2
C. Termination of Tenancy by the Owner: Evictions.....	14-2
D. Termination of the Contract by PHA	14-5

Chapter 15
DENIAL OF TERMINATION OF ASSISTANCE

A. Grounds for Denial/Termination.....	15-1
B. “One Strike” Policy.....	15-5
C. Family Obligations.....	15-10
D. Procedures for Non-Citizens.....	15-15
E. Zero (\$0) Assistance Tenancies	15-16
F. Option Not to Terminate for Mis-Representation.....	15-16
G. Mis-Representation in Collusion with Owner.....	15-17
H. Missed Appointments and Deadlines	15-18

Chapter 16
OWNER DISAPPROVAL AND RESTRICTION

A. Disapproval of Owner.....	16-1
B. Owner Restrictions and Penalties.....	16-3
C. Change in Ownership.....	16-3

Table of Contents

Chapter 17

CLAIMS, MOVE-OUT AND CLOSE-OUT INSPECTIONS

(For HAP Contracts Effective Before October 2, 1995)

A.	OWNER CLAIMS	17-1
B.	UNPAID RENT	17-1
C.	DAMAGES	17-2
D.	VACANCY LOSS IN THE CERTIFICATE PROGRAM	17-3
E.	MOVE-OUT AND CLOSE-OUT INSPECTIONS	17-5
F.	PROCESSING CLAIMS	17-6

Chapter 18

OWNER OR FAMILY DEBTS TO THE PHA

A.	PAYMENT AGREEMENT FOR FAMILIES	18-2
B.	DEBTS OWED FOR CLAIMS	18-4
C.	DEBTS DUE TO MISREPRESENTATIONS/NON-REPORTING OF INFORMATION	18-6
D.	DEBTS DUE TO MINIMUM RENT TEMPORARY HARDSHIP	18-8
E.	GUIDELINES FOR PAYMENT AGREEMENTS	18-9
F.	OWNER DEBTS TO THE PHA	18-11
G.	WRITING OFF DEBTS	18-11

Chapter 19

COMPLAINTS AND APPEALS

A.	COMPLAINTS TO THE PHA	19-2
B.	PREFERENCE DENIALS	19-3
C.	INFORMAL REVIEW PROCEDURES FOR APPLICANTS	19-4
D.	INFORMAL HEARING PROCEDURES	19-7
E.	HEARING AND APPEAL PROVISIONS FOR "RESTRICTIONS ON ASSISTANCE TO NON-CITIZENS"	19-13
F.	MITIGATING CIRCUMSTANCES FOR APPLICANTS/PARTICIPANTS WITH DISABILITIES	19-15

Chapter 20

SPECIAL HOUSING TYPES

A.	SINGLE ROOM OCCUPANCY	20-2
B.	CONGREGATE HOUSING	20-3
C.	GROUP HOMES	20-4
D.	SHARED HOUSING	20-6
E.	COOPERATIVE HOUSING	20-8
F.	MANUFACTURED HOMES	20-9

Table of Contents

Section 8
EXISTING AFTERCARE PROGRAM DESCRIPTION

General Historical Information	P. 1
General Current Information	P. 1
Program Objectives	P. 1
Approved Community Referring Agencies ProvideP. 1	
Housing Authority Responsibilities	P.2

Section 8
EXISTING FAMILY UNIFICATION PROGRAM DESCRIPTION

Introduction	P. 1
Eligibility	P. 1
Requirements	P. 1
Family Commitment	P. 2
Grounds for Termination	P.2
General Historical Information	P.2

Section 8
EXISTING FAMILY SELF-SUFFICIENCY PROGRAM DESCRIPTION

Introduction	P. 1
Historical Program RequirementP. 1	
Tenant Selection Plan	P. 1
Eligible Applicants	P. 2
Term of Contract	P.2
Establishment of an Escrow Account	P.2
Loans Against Escrow AccountsP.2	
Release of Escrow	P.3
Termination for Non-Compliance	P.3
Grievance Procedures	P.3
Forfeit of Escrow	P.4
Reinstatement Policy	P.4

Section 8
EXISTING SHELTER PLUS CARE PROGRAM DESCRIPTION

Introduction	P. 1
--------------------	------

Housing Authority Responsibilities	P. 1
--	------

GLOSSARY

A.	ACRONYMS USED IN SUBSIDIZED HOUSING	GL-1
B.	GLOSSARY OF TERMS IN SUBSIDIZED HOUSING.....	GL-3
C.	GLOSSARY OF TERMS USED IN THE NONCITIZENS RULE	GL-17

PROGRAM INTEGRITY ADDENDUM

A.	CRITERIA FOR INVESTIGATION OF SUSPECTED ABUSE AND FRAUD	PI-2
B.	STEPS THE PHA WILL TAKE TO PREVENT PROGRAM ABUSE AND FRAUD	PI-3
C.	STEPS THE PHA WILL TAKE TO DETECT PROGRAM ABUSE AND FRAUD	PI-4
D.	THE PHA'S HANDLING OF ALLEGATIONS OF POSSIBLE ABUSE AND FRAUD	PI-5
E.	OVERPAYMENTS TO OWNERS.....	PI-5
F.	HOW THE PHA WILL INVESTIGATE ALLEGATIONS OF ABUSE AND FRAUD	PI-6
G.	PLACEMENT OF DOCUMENTS, EVIDENCE AND STATEMENTS OBTAINED BY THE PHA	PI-7
H.	CONCLUSION OF THE PHA'S INVESTIGATIVE REVIEW	PI-7
I.	EVALUATION OF THE FINDINGS	PI-7
J.	ACTION PROCEDURES FOR VIOLATIONS WHICH HAVE BEEN DOCUMENTED	PI-8

PROPERTY MANAGEMENT POLICIES AND PROCEDURES MANUAL

Due to the length of this document, only the Table of Contents is included.
Copies of particular areas of interest may be made by calling Kristine Torres at
(408) 993-3079.

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary					
PHA Name: Housing Authority of the County of Santa Clara		Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No:			Federal FY of Grant: 2001
X Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds	-			
2	1406 Operations	33,600.00			
3	1408 Management Improvements	-			
4	1410 Administration	55,364.00			
5	1411 Audit	3,000.00			
6	1415 Liquidated Damages	-			
7	1430 Fees and Costs	51,849.00			
8	1440 Site Acquisition	-			
9	1450 Site Improvement	226,000.00			
10	1460 Dwelling Structures	603,753.00			
11	1465.1 Dwelling Equipment—Nonexpendable	-			
12	1470 Nondwelling Structures	-			
13	1475 Nondwelling Equipment	112,400.00			
14	1485 Demolition	-			
15	1490 Replacement Reserve	-			
16	1492 Moving to Work Demonstration	-			
17	1495.1 Relocation Costs	20,000.00			
18	1499 Development Activities	-			
19	1501 Collateralization or Debt Service	-			
20	1502 Contingency	5,000.00			
21	Amount of Annual Grant: (sum of lines 2 – 20)	\$1,110,966.00			
22	Amount of line 21 Related to LBP Activities	-			
23	Amount of line 21 Related to Section 504 compliance	-			
24	Amount of line 21 Related to Security – Soft Costs	-			
25	Amount of Line 21 Related to Security – Hard Costs	-			
26	Amount of line 21 Related to Energy Conservation Measures	104,800			

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHA Name: Housing Authority of the County of Santa Clara		Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No:				Federal FY of Grant: 2001		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
Rincon Gardens CA 39 PO 59-004	Install 2" asphalt paving overlay in driveway	1450	1	60,000.00				
	Replace back-flow preventor, add bypass	1450	1	7,500.00				
	Replace exterior lighting poles	1450	34	30,000.00				
	Modernize public bathrooms	1450	2	8,000.00				
	Replace trellis	1450	2	8,000.00				
	Replace flooring in laundry room	1450	1	9,800.00				
	Replace vinyl floors in common area rooms w/ vinyl tile	1450	1	50,000.00				
	Install reinforced fiber glass panels on low walls in dining rooms	1460	1	1,440.00				
	Install dual glass windows	1460	262	104,800				
	Replace exhaust fan for hood in food service kitchen	1460	1	6,500.00				
	Provide cabinets for computer use/storage for Digital Club House	1460	1	3,600.00				
			1450	\$113,500.00				
			1460	<u>\$176,140.00</u>				
			Total	\$289,640				

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHA Name: Housing Authority of the County of Santa Clara		Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No:				Federal FY of Grant: 2001		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
Sunset Gardens CA 39 PO 59-005	Modernize residential units	1460	10	\$108,000.00				
	Replace furnaces in 31 units	1460	1	62,663.00				
	Provide cabinets for computer storage for Digital Club House	1460	1	3,600.00				
			1450	0.00				
			1460	<u>174,263.00</u>				
			Total	\$174,263.00				
Lenzen Gardens CA 39 PO59-007	Repair pond	1450	1	12,000.00				
	Repair headers at sliding glass door in units and repair/replace trellis	1460	1	67,375.00				
	Replace vinyl floors in common area/staff rooms with vinyl tile	1460	1	4,000.00				
	Provide cabinets for computer use/storage for Digital Club House	1460	1	3,600.00				
	Install data phone lines in service office	1460	1	2,500.00				
			1450	12,000.00				
			1460	<u>77,475.00</u>				
			Total	\$89,475.00				

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Housing Authority of the County of Santa Clara			Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No:			Federal FY of Grant: 2001		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
Cypress Gardens CA 39 PO59-008	Install french drain in courtyard	1450	1	15,000.00				
	Provide cabinets for computer use/storage for Digital Club House	1460	1	3,600.00				
	Modernize common area bathrooms	1460	2	7,925.00				
	Replace motors in hall heating units	1460	6	5,490.00				
	Renovate unit baths to install grab bars	1460	75	100,000				
	Upgrade fire alarm system	1460	1	25,000.00				
			1450	15,000.00				
			1460	142,015.00				
			Total	\$157,015.00				
Lucretia/Julian Gardens CA 39 PO59-012	Provide play structure	1450	1	25,000.00				
			1450	25,000.00				
			1460	0.00				
			Total	\$25,000.00				

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Housing Authority of the County of Santa Clara			Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No:			Federal FY of Grant: 2001		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
Miramar/Deborah	Remove driveway (Deborah)	1450	1	9,200.00				
CA 39 PO59-016	Remove overhead electric service and replace (Miramar)	1450	1	36,000.00				
	Project sign at both sites	1450	2	3,300.00				
	Replace dishwashers (Deborah)	1460	4	2,800.00				
	Replace second floor access walkway surface @ both sites	1460	2	11,760.00				
	Replace electrical room door enclosures at both sites	1460	2	3,500.00				
	Replace water softener (Miramar)	1460	1	5,000.00				
			1450	48,500.00				
			1460	<u>23,060.00</u>				
			Total	\$71,560.00				
Halford & Poinciana	Seal paved area at both sites	1450	2	12,000.00				
CA 39 PO59-014	Replace support beam & entry stairs @ patios @ both sides	1460	6	10,800.00				
			1450	12,000.00				
			1460	<u>10,800.00</u>				
			Total	\$22,800.00				

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Housing Authority of the County of Santa Clara			Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No:			Federal FY of Grant: 2001		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
Operations	None	1406	1	0.00				
Management	CIP staff training	1408	1	500.00				
Improvements	On-line Davis Bacon Services	1408	1	600.00				
	Resident Initiative-Computer training	1408	1	7,500.00				
	Computer software upgrade	1408	1	10,000.00				
	Assessment of delivery of senior services	1408	1	15,000.00				
Administration	Salaries & Benefits	1410	1	47,264.00				
	Travel	1410	1	500.00				
	Recording Fees	1410	1	100.00				
	Publications	1410	1	2,500.00				
	Consultants	1410	1	5,000.00				
Audit	Audit	1411		3,000.00				
Liquidated damages		1415	0	0.00				
Fees & Costs	Consultant fees	1430	1	20,000.00				
	Architect/Inspection	1430	1	31,849.00				

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Housing Authority of the County of Santa Clara			Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No:			Federal FY of Grant: 2001		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
Site Acquisition		1440	0	0.00				
Dwelling Equipment Non Expendable	None	1465.1	0	0.00				
Nondwelling Structures	None							
Nondwelling Equipment	Hand held personal data computers	1475		6,000.00				
	Dehumidifiers	1475	2	2,400				
	Fiber optic camera system	1475	1	5,000.00				
	One 3/4 ton truck	1475	1	28,000.00				
	Digital camera	1475	1	1,000.00				
	Key machine	1475	1	1,000.00				
	Key track system	1475	1	9,000.00				
	Play structure for Autumn Wonderland	1475	1	60,000.00				
Demolition	None	1485	0	0				
Replacement Reserve	None	1490	0	0				
Moving to Work Demo	None	1492	0					
Relocation	Relocation for renovation	1495.1	1	20,000.00				
MOD Used for Development	None	1498	0	0				
Contingency		1502	1	5,000.00				

Annual Statement/Performance and Evaluation Report

Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)

Part III: Implementation Schedule

PHA Name: Housing Authority of the County of Santa Clara			Grant Type and Number Capital Fund Program No: Replacement Housing Factor No:			Federal FY of Grant: 2001	
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
CA 39 PO59-004 Rincon	3/30/03			9/30/03			
CA 39 PO59-005 Sunset	3/30/03			9/30/03			
CA 39 PO59-007 Lenzen	3/30/03			9/30/03			
CA 39 PO59-012 Lucretia/Julian	3/30/03			9/30/03			
CA 39 PO59-016 Miramar/Deborah	3/30/03			9/30/03			
HA WIDE							
CIP staff training	3/30/03			9/30/03			
Online Davis-Bacon training	3/30/03			9/30/03			
Resident computer training	3/30/03			9/30/03			
Computer software upgrade	3/30/03			9/30/03			
Audit	3/30/03			9/30/03			
Consultant fees	3/30/03			9/30/03			
Architect/Inspection fees	3/30/03			9/30/03			
Dehumidifiers	3/30/03			9/30/03			
¾ ton truck	3/30/03			9/30/03			
Digital Camera	3/30/03			9/30/03			
Key machine	3/30/03			9/30/03			
Key track system	3/30/03			9/30/03			
Relocation	3/30/03			9/30/03			
Contingency	3/30/03			9/30/03			

Capital Fund Program Five-Year Action Plan

Part I: Summary

PHA Name Housing Authority of the County of Santa Clara		X Original 5-Year Plan <input type="checkbox"/> Revision No:			
Development Number/Name/HA-Wide	Year 1	Work Statement for Year 2 FFY Grant: PHA FY: 2002	Work Statement for Year 3 FFY Grant: PHA FY: 2003	Work Statement for Year 4 FFY Grant: PHA FY: 2004	Work Statement for Year 5 FFY Grant: PHA FY: 2005
	Annual Statement				
Sunset Gardens CA 39 PO59-005		Replace ground cover	Modernize 10% of the units	Replace fence along north property line.	Replace furnaces
		Modernize 10% of units	Replace furnaces	Replace trellises	
		Kitchen modernization	Tint windows	Modernize 10% of units	
		Replace furnaces	Replace lighting in bathrooms	Replace counter, sink & faucets in kitchen	
		Tint windows	Refinish kitchen cabinets	Replace furnaces	
		Replace lighting in bathrooms	Replace base boards in units	Tint windows	
		Install handrails/ramps at entry to units	Install handrails/ramps at entry to units	Replace lighting in bathrooms	
		Replace hoods & exhaust fans in kitchen	Replace hoods & exhaust fans in kitchen	Install handrails/ramps at entry to units	
		Replace base board		Replace hoods & exhaust fans in kitchens	
		Refinish kitchen cabinets		Replace base board	
		Install data phone lines in service office		Refinish kitchen cabinets	
CFP Funds Listed for 5-year planning		\$277,750.00	\$113,250.00	\$173,575.00	\$22,500.00
Replacement Housing Factor Funds					

Capital Fund Program Five-Year Action Plan

Part I: Summary

PHA Name Housing Authority of the County of Santa Clara				X Original 5-Year Plan <input type="checkbox"/> Revision No:	
Development Number/Name/HA-Wide	Year 1	Work Statement for Year 2 FFY Grant: PHA FY: 2002	Work Statement for Year 3 FFY Grant: PHA FY: 2003	Work Statement for Year 4 FFY Grant: PHA FY: 2004	Work Statement for Year 5 FFY Grant: PHA FY: 2005
	Annual Statement				
Rincon Gardens CA 39 PO59-004		Replace counters in common areas	Replace ground cover	Paint/replace flooring in 10% of units	Replace common area rooms & bathrooms
		Paint/replace flooring in 10% of units	Paint/replace flooring in 10% of units	Install 12" roll-up door for service area	Replace all ground cover
		Replace door closers on refuse door	Replace unit exhaust fans in units	Replace unit exhaust fans as above	Replace unit windows w/dual glazed
		Replace screen doors	Replace counters-units	Replace shut-off valves on base board heaters	Replace sliding glass patio doors
		Replace cable T.V. raceway		Replace counters-units	
		Replace counters-units		Install canopies at entry doors from courtyards	
		Install marlite in storage closets		Install attic flooring in storage rooms	
		Replace cutting boards		Air conditioning in office	
		Install data phone lines in service office			
		Replace patio doors w/double pane			
		Replace kitchen ranges			
CFP Funds Listed for 5-year planning		\$647,150	\$270,750	\$361,450	\$584,000
Replacement Housing Factor Funds					

Capital Fund Program Five-Year Action Plan

Part I: Summary

PHA Name Housing Authority of the County of Santa Clara		X Original 5-Year Plan <input type="checkbox"/> Revision No:			
Development Number/Name/HA-Wide	Year 1	Work Statement for Year 2 FFY Grant: PHA FY: 2002	Work Statement for Year 3 FFY Grant: PHA FY: 2003	Work Statement for Year 4 FFY Grant: PHA FY: 2004	Work Statement for Year 5 FFY Grant: PHA FY: 2005
	Annual Statement				
Lenzen Gardens CA 39 PO59-007		Refinish kitchen cabinets in units	Install new stoves in units	Replace baseboard heating	Replace corridor lights
		Replace shingles with sliding	replace 2 x 2's at patios with awnings	Install 2" overlay in parking area	Replace metal fence and gate
		Add paint band in corridors	Replace kitchen faucets	Install bi-pass valves @ baseboard heaters	Replace ground cover
		Refinish kitchen cabinets in units	Replace ceiling tile in corridors		Replace chain link fence along property line
		Install auto disinfectant in refuse chutes	Replace roof		
			Replace parapet cap, etc.		
CFP Funds Listed for 5-year planning		\$538,000.00	\$352,750.00	\$199,470.00	\$138,500.00
Replacement Housing Factor Funds					

Capital Fund Program Five-Year Action Plan

Part I: Summary

PHA Name Housing Authority of the County of Santa Clara				X Original 5-Year Plan <input type="checkbox"/> Revision No:	
Development Number/Name/HA-Wide	Year 1	Work Statement for Year 2 FFY Grant: PHA FY: 2002	Work Statement for Year 3 FFY Grant: PHA FY: 2003	Work Statement for Year 4 FFY Grant: PHA FY: 2004	Work Statement for Year 5 FFY Grant: PHA FY: 2005
	Annual Statement				
Cypress Gardens CA 39 PO59-008		Modernize residential units	Modernize residential units	Replace ground cover	Replace shingles with siding
		Replace kitchen exhaust hoods	Replace kitchen exhaust hoods	Install 2" paving overlay in parking lot	Replace flooring on stairs
		Replace base board heating units	Replace base board heating units	Modernize kitchens	
		Install data phone lines in service office	Replace ceiling tile in corridors	Modernize bathrooms	
				Replace kitchen exhaust hoods	
				Repair moving partition in meeting room	
				Replace base board heating in units	
				Install air-gap @base board heaters	
				Replace sliding glass door on 3 rd floor lobby, office & meeting rooms	
CFP Funds Listed for 5-year planning		\$194,395.00	\$123,360.00	\$187,240	\$480,000.00
Replacement Housing Factor Funds					

Capital Fund Program Five-Year Action Plan

Part I: Summary

PHA Name Housing Authority of the County of Santa Clara				X Original 5-Year Plan <input type="checkbox"/> Revision No:	
Development Number/Name/HA-Wide	Year 1	Work Statement for Year 2 FFY Grant: PHA FY: 2002	Work Statement for Year 3 FFY Grant: PHA FY: 2003	Work Statement for Year 4 FFY Grant: PHA FY: 2004	Work Statement for Year 5 FFY Grant: PHA FY: 2005
	Annual Statement				
Lucretia/Julian CA 39 PO59-012		Replace hot water heaters	Replace roofs at both sites		
		Replace appliances in kitchen			
		Correct drainage and re-landscape			
CFP Funds Listed for 5-year planning		\$97,500.00	\$95,000		
Replacement Housing Factor Funds					

Capital Fund Program Five-Year Action Plan

Part I: Summary

PHA Name Housing Authority of the County of Santa Clara				X Original 5-Year Plan <input type="checkbox"/> Revision No:	
Development Number/Name/HA-Wide	Year 1	Work Statement for Year 2 FFY Grant: PHA FY: 2002	Work Statement for Year 3 FFY Grant: PHA FY: 2003	Work Statement for Year 4 FFY Grant: PHA FY: 2004	Work Statement for Year 5 FFY Grant: PHA FY: 2005
Deborah/Miramar CA 39 PO59-016	Annual Statement				
		Replace second floor decks			
		Replace metal railings			
CFP Funds Listed for 5-year planning		\$36,500.00			
Replacement Housing Factor Funds					

Capital Fund Program Five-Year Action Plan

Part I: Summary

PHA Name Housing Authority of the County of Santa Clara				X Original 5-Year Plan <input type="checkbox"/> Revision No:	
Development Number/Name/HA-Wide	Year 1	Work Statement for Year 2 FFY Grant: PHA FY: 2002	Work Statement for Year 3 FFY Grant: PHA FY: 2003	Work Statement for Year 4 FFY Grant: PHA FY: 2004	Work Statement for Year 5 FFY Grant: PHA FY: 2005
	Annual Statement				
Poinciana/Halford CA 39 PO59-014		Replace washer/dryer @ Poinciana	Paint buildings at both sites		
CFP Funds Listed for 5-year planning		\$7,500.00	\$38,000.00		
Replacement Housing Factor Funds					

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages—Work Activities

Activities for Year 1	Activities for Year : 2 FFY Grant: PHA FY: 2002			Activities for Year: 3 FFY Grant: PHA FY: 2003		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See	1408	Management Improvements		1408	Management Improvements	
Annual		CIP staff training	500.00		CIP staff training	500.00
Statement		On-line Davis Bacon services	618.00		On-line Davis Bacon services	630.00
		Resident initiative-computer training	7,500.00		Resident initiative-computer training	8,500.00
		Computer software upgrade	<u>10,000.00</u>		Computer software upgrade	<u>11,007</u>
	Total 1408		\$18,618.00	Total 1408		\$20,637.00
	1410	Administration		1410	Administration	
		Salaries	48,515.00		Salaries	49,565.00
		Travel	510.00		Travel	625.00
		Recording Fees	100		Recording Fees	100.00
		Publications	2,533		Publications	2,600.00
		Consultants	<u>5,125.00</u>		Consultants	<u>5,353.00</u>
	Total 1410		\$56,783.00	Total 1410		\$58,243.00
	1411	Audit		1411	Audit	
	Total 1411		\$3,150	Total 1411		3,308.00
	1430	Fees and Costs		1430	Fees and Costs	
		Consultant fees	21,000.00		Consultant fees	21,007.00
		Architect/Inspection fees	<u>32,405</u>		Architect/Inspection fees	<u>34,000.00</u>
	Total 1430		\$53,405.00	Total 1430		\$55,007.00
	1470	Nondwelling structures		1470	Nondwelling structures	
	Total 1470		0.00	Total 1470		0.00
	1475	Nondwelling Equipment		1475	Nondwelling Equipment	
		2 dehumidifiers	4,500.00		2 dehumidifiers	8,500.00
		One 3/4 Ton Truck	37,500.00		Digital Camera	4,500.00
		Digital Camera	3,500.00		Key Machine	8,000.00

		Key Machine	4,000.00		Key Track system	<u>15,000</u>
		Key Track system	<u>13,500</u>	Total 1475		\$35,000
	Total 1475		\$63,000			
	1495.1	Relocation		1495.1	Relocation	
	Total 1495.1	Unit renovation	\$30,000	Total 1495.1	Unit renovation	\$30,000
	1502	Contingency		1502	Contingency	
	Total 1502		10,000.00	Total 1502		10,000.00
Total CFP Estimated Cost			\$234,956			\$212,195

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages—Work Activities

Activities for Year : ____ FFY Grant: PHA FY: 2004			Activities for Year: ____ FFY Grant: PHA FY: 2005		
Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
1408	Management Improvements		1408	Management Improvements	
	CIP staff training	531.00		CIP staff training	550.00
	On-line Davis Bacon services	625.00		On-line Davis Bacon services	625.00
	Resident initiative-computer training	7,500.00		Resident initiative-computer training	7,500.00
	Computer software upgrade	<u>10,000.00</u>		Computer software upgrade	<u>10,000.00</u>
Total 1408		\$18,656.00	Total 1408		\$18,675.00
1410	Administration		1410	Administration	
	Salaries	51,877.00		Salaries	53,367.00
	Travel	520.00		Travel	530.00
	Recording Fees	100		Recording Fees	100
	Publications	2,100		Publications	2,100
	Consultants	<u>5,150.00</u>		Consultants	<u>5,200.00</u>
Total 1410		\$59,747.00	Total 1410		\$61,297
1411	Audit		1411	Audit	
Total 1411		\$3,473.00	Total 1411		\$3,647.00
1430	Fees and Costs		1430	Fees and Costs	
	Consultant fees	21,657.00		Consultant fees	22,357.00
	Architect/Inspection fees	<u>35,000</u>		Architect/Inspection fees	<u>36,000</u>
Total 1430		\$56,657	Total 1430		\$58,357.00
1470	Nondwelling structures		1470	Nondwelling structures	
Total 1470		0.00	Total 1470		0.00
1475	Nondwelling Equipment		1475	Nondwelling Equipment	
	2 dehumidifiers	3,500.00		1 dehumidifier	1,500.00

	Key track system	<u>7,900.00</u>		One 3/4 Ton Truck	<u>35,500.00</u>
Total 1475		\$11,400.00	Total 1475		\$37,000
1495.1	Relocation		1495.1	Relocation	
Total 1495.1	Unit renovation	\$30,000	Total 1495.1	Unit renovation	\$30,000
1502	Contingency		1502	Contingency	
Total 1502		10,000.00	Total 1502		10,000.00
Total CFP Estimated Cost		\$189,933			\$218,976.00

CHAS Table 1C - All Households

Name of Jurisdiction: Santa Clara County, CA			Source of Data CHAS Data Book			Data Current as of: 1990			
	Renters					Owners			
Household by Type, Income, & Housing Problem	Elderly 1 & 2 member household s	Small Related (2 to 4)	Large Related (5 or more)	All Other Household s	Total Renters	Elderly	All Other Owners	Total Owners	Total Household s
	(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)
1. Very Low Income (0 to 50% MFI)	13,077	21,016	11,962	17,140	63,195	20,042	14,999	35,041	98,236
2. 0 to 30% MFI	8,862	10,446	5,808	9,081	34,197	10,165	6,181	16,346	50,543
3. % with any housing problems	74%	89%	97%	82%	85%	57%	25%	64%	78%
4. % Cost Burden > 30%	74%	84%	87%	82%	81%	57%	6%	63%	75%
5. % Cost Burden > 50%	52%	76%	72%	72%	68%	35%	9%	44%	60%
6. 31 to 50% MFI	4,215	10,570	6,154	8,059	28,998	9,877	8,818	18,695	47,693
7. % with any housing problems	77%	90%	95%	86%	88%	27%	12%	47%	72%
8. % Cost Burden > 30%	76%	84%	74%	85%	81%	27%	17%	44%	66%
9. % Cost Burden > 50%	36%	33%	22%	43%	34%	10%	16%	26%	31%
10. Other Low-Income (51 to 80% MFI)	1,870	8,970	4,150	7,165	22,155	7,148	10,364	17,512	39,667
11. % with any housing problems	64%	75%	92%	78%	78%	17%	12%	46%	64%
12. % Cost Burden > 30%	62%	62%	44%	76%	63%	16%	25%	41%	54%
13. % Cost Burden > 50%	17%	8%	5%	9%	9%	6%	14%	20%	14%
14. Moderate Income (81 to 95% MFI)	1,249	8,359	3,139	7,321	20,068	5,018	12,622	17,640	37,708
15. % with any housing problems	57%	56%	84%	53%	59%	12%	10%	48%	54%
16. % Cost Burden > 30%	55%	43%	24%	50%	43%	12%	30%	42%	43%
17. % Cost Burden > 50%	9%	3%	0%	2%	3%	3%	11%	14%	8%
18. Total Households**	19,935	84,039	29,042	75,775	208,791	60,479	252,770	313,249	522,040
19. % with any housing problems	63%	47%	81%	40%	51%	20%	42%	35%	41%

** Includes all income groups -- including those above 95% MFI



**HOUSING AUTHORITY OF THE COUNTY OF SANTA CLARA
ANNUAL PLAN
RESIDENT ADVISORY BOARD MEETING
MARCH 2, 2001**

1. INTRODUCTIONS

Present: Richard Warren, Property Management Director
Housing Authority of the County of Santa Clara

Candace Capogrossi, Deputy Director
Housing Authority of the County of Santa Clara

Kristine Kane, Planning Coordinator
Housing Authority of the County of Santa Clara

Jean Frances Kizzia, Lenzen Gardens Resident

Ola Bolton, SC8 Voucher Holder

2. PURPOSE

The Annual Plan provides details about the Housing Authority's immediate operations, program participants, programs and services, and the Housing Authority's strategy for handling operational concerns, residents' concerns and needs, programs and services for the upcoming fiscal year.

3. CAPITAL IMPROVEMENT PLAN

Richard Warren reviewed the Annual Statement - Capital Fund Program for the Housing Authority's complexes.

4. ADMISSIONS AND CONTINUED OCCUPANCY PLAN

Richard Warren reviewed the changes to the Admissions and Continued Occupancy Plan.

- The New Community Service and Self-Sufficiency Requirements for Public Housing became effective April 28, 2000. Chapter 16 of the Admissions and Continued Occupancy Plan reflects HUD's Final Rule Secs. 960.601-960.609. The Housing Authority is now required to institute a program that all adults in the household who are not elderly or a person with a disability (and

unable to comply with the requirement), perform at least 8 hours of community service per month.

- HUD published the Final Pet Rule per the directions of QWHRA. Changes were made to Chapter 10 to reflect the rule which became effective August 9, 2000. Chapter 10 explains the Housing Authority's policies on the keeping of pets and any criteria or standards pertaining to the policy. The purpose of this policy is to establish procedures in accordance with the Final Rule for the ownership of pets in elderly and disabled units and to ensure that no applicant or resident is discriminated against regarding admission or continued occupancy because of ownership of pets. It also establishes rules governing the keeping of common household pets.

5. PROPOSE CHANGES IN THE SECTION 8 PROGRAMS

Section 8 Home Ownership Program

H.U.D. now permits Housing Assistance Payments to be used as house payments. Due to the high cost of home ownership in the Santa Clara County, there will be limited families with sufficient resources to qualify. For this reason, a pilot program that will target Family Self Sufficiency participants will be implemented by Fall, 2001. In addition to the escrow funds, partnerships with Bank of America and others will result in leveraged funds. Families will work on their credit profiles before being referred to the home buyers club. Further, it is anticipated that 5 families will be successful by 6-30-02 in obtaining homes.

Project Based Section 8

The Section 8 Program has utilized the project based features previously. Due to program changes which allow Section 8 financial assistance, for up to ten years with no required rehabilitation, it is expected that this program will be engaging to both non profit and for profit owners. We plan to allocate 100 units. A community meeting inviting owners and agents will occur in the Summer of 2001, with 100 units being project based by 2002.

Family Unification Program and Welfare to Work Program

These "set aside" program have utilized names off of the Section 8 wait list. Once the names have been exhausted, the Housing Authority will accept referrals from the Social Service Agency. The clients referred will be screened and their names placed on the wait list.

The Family Unification Program has exhausted the existing wait list and the Welfare to Work Program is currently working with the remaining 1,000 names, who self declared that they were receiving TANF.

F. DECONCENTRATION OF POVERTY AND INCOME-MIXING

The Housing Authority's admission policy is designed to provide for deconcentration of poverty and income-mixing by bringing higher income tenants into lower income projects and lower income tenants into higher income projects.

Gross annual income is used for income limits at admission and for income-mixing purposes.

The Housing Authority will gather data and analyze, at least annually, the tenant characteristics of its public housing stock, including information regarding tenant incomes, to assist in the Housing Authority's deconcentration efforts.

The Housing Authority will use the gathered tenant incomes information in its assessment of its public housing developments to determine the appropriate designation to be assigned to the project for the purpose of assisting the Housing Authority in its deconcentration goals.

If the Housing Authority's annual review of tenant incomes indicates that there has been a significant change in the tenant income characteristics of a particular project, the Housing Authority will evaluate the changes to determine whether, based on the Housing Authority methodology of choice, the project needs to be redesignated as a higher or lower income project or whether the Housing Authority has met the deconcentration goals and the project needs no particular designation.

Deconcentration and Income-Mixing Goals

Admission policies related to the deconcentration efforts of the Housing Authority do not impose specific quotas. Therefore, the Housing Authority will not set specific quotas, but will strive to achieve deconcentration and income-mixing in its developments.

The Housing Authority's income-mixing goal is a long-range goal and may not be achieved in the first year of implementation. The Housing Authority will use its annual analysis of its public housing stock and tenant incomes to provide benchmarks for the Housing Authority.

The Housing Authority's income-mixing goal, in conjunction with the requirement to target at least 40 percent of new admissions to public housing in each fiscal year to "extremely low-income families", will be to achieve the following occupancy percentages:

For higher income projects, an occupancy rate of 40% very low- and extremely low-income families.

For lower income projects, an occupancy rate of 20% families at or above the low-income limit 30% of area median).

In each fiscal year, the Housing Authority will strive to achieve the following goals for deconcentration of poverty and income-mixing:

Increase the number lower income families into higher income developments.

Increase the number higher income families into lower income developments.

Lower income developments where the Housing Authority's goal is to increase higher income families:

Miramar Apartments

Deborah Gardens

Lucretia Gardens

Higher income developments where the Housing Authority's goal is to increase lower income families:

Julian Gardens

Eklund Gardens 1

Eklund Gardens 2

Project Designation Methodology

The Housing Authority will determine and compare tenant incomes at the family developments listed in this Chapter.

Upon analyzing its findings the Housing Authority will apply the policies, measures and incentives listed in this Chapter to bring higher income families into lower income developments and lower income families into higher income developments.

The Housing Authority's goal is to have eligible families having higher incomes occupy dwelling units in projects predominantly occupied by eligible families having lower incomes, and eligible families having lower incomes occupy dwelling units in projects predominantly occupied by eligible families having higher incomes.

Families having lower incomes include very low- and extremely low-income families.

Skipping of families for deconcentration purposes will be applied uniformly to all families.

When selecting applicant families and assigning transfers for a designated project the Housing Authority will determine whether the selection of the family will contribute to the Housing Authority's deconcentration goals.

The Housing Authority will not select families for a particular project if the selection will have a negative effect on the Housing Authority's deconcentration goals. However, if there are insufficient families on the waiting list under no circumstances will a unit remain vacant longer than necessary.

Aggregate Average Method

The Housing Authority will review the annual resident income of all family sites and using the incomes of all families in the targeted developments as a baseline, determine the average income of all of its resident families.

The Housing Authority will designate higher income developments those with average income above the aggregate average.

The Housing Authority will designate lower income developments those with

average income below the aggregate average.

Change in Circumstances

Applicants are required to notify the Housing Authority in writing when their circumstances change.

COMMUNITY SERVICE REQUIREMENTS FOR PUBLIC HOUSING

At the time of move in and at each recertification, the Property Specialist will determine if any adult household members (18 or older) are required to perform 8 hours of community service each month per the HUD regulations.

The following adults are exempt from this requirement:

1. Age 62 or older
2. Blind or Disabled as defined by the Social Security Administration and unable to comply with this requirement
3. Primary caretaker for a blind or disabled person
4. Engaged in a work activity
5. Participating in the Family Self Sufficiency program
6. Participating in a Welfare to Work program

All adults that are exempt from this requirement must sign the “Certification of Exemption from Community Service” form at move in and at each recertification.

This regulation must be explained to all new residents and all existing residents who are required to participate. A 12 month supply of “Self-Certification Affidavits” will be given to each participating household member at move in and at each recertification.

Each month, the participant is required to perform a total of 8 hours of community service. The service performed will be documented on a “Self-Certification Affidavit” which will be completed by each participant. The “Self-Certification Affidavit” must be turned in to the Resident Manager along with the rent payment on a monthly basis. We must receive the form by the 5th of each month.

The Resident Manager will forward the “Self-Certification Affidavit to the Property Specialist as they are received. The Property Specialist will maintain a “List of Community Service Participants” by property.

On the 10th of each month, the Property Specialist will confirm the “Self-Certification Affidavit” was completed and received from each participant:

1. If the form was received, the Property Specialist will record on the list of participants and file the form in the tenant file in section 1.
2. If the form was NOT received, the Property Specialist will send the “Rental Agreement Violation, Failure to perform Community Service Requirement” form. A copy of this letter will be maintained in the tenant file. After 7 days, if the “Self-Certification Affidavit” is not received, the Property Specialist will send the “Rental Agreement Violation, Second Warning, Failure to perform Community Service” form to the resident. A copy of this letter will be maintained in the tenant file. If the “Self-Certification Affidavit” is still not received, no further action will be taken until it is time to begin processing the annual recertification.

During the annual recertification review, the Property Specialist will verify that the Community Service requirement has been met for the preceding 12 month period:

1. If so, the Property Specialist will complete the recertification in accordance with the recertification procedures. The Property Specialist will also determine if any household members are required to participate in the upcoming 12 months. If so, the Property Specialist will give them a 12 month supply of “Self-Certification Affidavits”.
2. If the resident has not met the community service requirement, the “Annual Review of Community Service Requirement” form will be sent to the resident. If the resident turns in the affidavit as requested, the Property Specialist will continue to process the recertification. If the resident does not turn in the requested affidavit, a Notice of Termination of Tenancy will be served. The Property Manager must authorize this action to be taken. The termination of tenancy may be cancelled if the non-complying resident is no longer a member of the household, or in the non-complying member signs an agreement to complete the required service within the next 12 months. The Property Manager must approve this agreement.

The Housing Authority of the County of Santa Clara's resident member of the Board of Commissioners is Verna Hayden. Verna lives at Sunset Gardens, a conventional public housing site in Gilroy, CA. Her term of appointment is March, 1998 to April, 2002.